

**NATIONAL SEA GRANT ADVISORY BOARD**  
**SEPTEMBER 16-17, 2012**  
**FALL 2012 MEETING**

**BRIEFING BOOK**

**HOTEL ALYESKA**  
**GIRDWOOD, ALASKA**



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## Agenda



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**National Sea Grant Advisory Board (NSGAB) Fall Meeting  
September 16-17, 2012  
AGENDA**

**Alyeska Resort  
1000 Arlberg Avenue  
Girdwood, AK 99587**

**Saturday, September 15**

Arrive in Alaska

**Sunday, September 16**

7:30 AM – Breakfast

NOTE: All times are Alaska Daylight Time (AKDT)

**8:00 AM – 5:00 PM - OPEN TO PUBLIC**

- 8:00 Introductions, review agenda, approval of minutes, etc. (Nancy Rabalais, Chair, NSGAB)
- 8:15 Chair's update (N. Rabalais, NSGAB)
- 8:30 National Sea Grant Office (NSGO) report (Leon Cammen, National Sea Grant Office – NSGO)
- 9:15 SGA report (Jonathan Pennock, President, Sea Grant Association)
- 9:45 Break – 15 minutes
- 10:00 Biennial Report Discussion and Board Approval (Dick West, NSGAB)
- 11:30 Discussion of morning topics and review of Board Assignments
- 12:00 Lunch
- 1:00 Performance Review Panel (PRP) and overall Sea Grant Evaluation (L. Cammen, NSGO)
- 1:30 Allocation Plan Update (L. Cammen, NSGO)
- 2:00 Strategic Plan update and Sea Grant Performance Measures/Metrics discussion (D. Vortmann, NSGAB)
- 2:30 Break -15 minutes
- 2:45 NSGAB Procedure Manual (E. Ban, NSGO)
- 3:00 Sea Grant Reauthorization Planning (Rollie Schmitten, NSGAB)
- 3:15 Alaska Sea Grant (David Christie, Director, Alaska Sea Grant)
- 4:30 Discussion of afternoon topics and wrap-up (N. Rabalais)
- 5:00 Meeting recessed until Monday, September 17 - 9:30 AM**

**Monday, September 17**

7:30 AM Breakfast

8:30 NSGAB Business Meeting

**9:30 AM – 12:30 PM - OPEN TO PUBLIC**

9:30 Call to Order, review agenda and previous day's discussions (N. Rabalais, NSGAB)

9:45 Focus Team liaison reports

- Hazard Resilience in Coastal Communities (Harry Simmons, NSGAB; Joshua Brown, NSGO)
- Healthy Coastal Ecosystems (N. Rabalais, NSGAB; Dorn Carlson, NSGO)
- Safe and Sustainable Seafood Supply (R. Schmitt, NSGAB; Gene Kim, NSGO)
- Sustainable Coastal Development (Michael Orbach, NSGAB; Mike Liffmann, NSGO)

10:15 Break

10:30 NOAA Research Update & Discussion - Dr. Robert Detrick, Assistant Administrator for NOAA Research and Craig McLean, Deputy Assistant Administrator for NOAA Research – via conference call

11:00 Focus Team discussion (how valuable have they been?; what are the successes?)

11:30 Public Comment Period

11:45 Discussion of meeting topics and next steps

**12:30 Adjourn**

Draft Minutes

August 6, 2012 Advisory Board Meeting



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**National Sea Grant Advisory Board (NSGAB) Conference Call  
August 6, 2012  
Minutes**

**National Oceanic and Atmospheric Administration  
1315 East West Highway  
SSMC3, Room 10836  
Silver Spring, MD 20910**

**Monday, August 6**

**2:00 PM - Introductions, review agenda, approval of minutes, etc. (Dr. Nancy Rabalais, Chair, NSGAB)**

**Roll call:**

**Board Attendees (on conference line):** Frank Beal, Patty Birkholz, Leon Cammen (*Ex-Officio*), Jeremy Harris, Michael Orbach, Nancy Rabalais, Harry Simmons, Bill Stubblefield, Dick Vortmann, Dick West  
**Board Members not in attendance:** Rollie Schmitt, Jonathan Pennock (*Ex-Officio*)

**Other attendees:**

John Byrne (on conference line)—Former Board member  
Elizabeth Ban – Designated Federal Officer, NSGO  
Nikola Garber – Acting Deputy Director, NSGO  
Jennifer Maggio – Program Assistant, NSGO  
Amy Painter—Director of Communications, NSGO  
Amy Scaroni—Program Specialist, NSGO

**Chair's update (N. Rabalais, NSGAB)**

Review of the Agenda

**MOTION**

**Change agenda to discuss Board travel to Alaska for Fall Board Meeting (Dick West, 2<sup>nd</sup> Jeremy Harris)**

**Vote: Unanimous approval**

- Dr. Cammen gave a status update on the Group Travel Request: Sea Grant started the process in January and due to new regulations, new procedures and rules came into effect. We have not been able to get approval since then.
- Dr. Rabalais said she would get in touch with the NOAA Administrator.

**MOTION**

**Approve minutes as presented (Stubblefield, 2<sup>nd</sup> Beal)**

**Vote: Unanimous approval**

**Biennial Report to Congress**

- Dr. Rabalais thanked the other committee members (Dr. Orbach, Mr. Beal, Dr. Garber, and Dr. Grau) and all who helped, particularly Admiral West for leading this effort.
- Admiral West said the goal of this discussion is to approve the draft. He thanked Ms. Painter for all of her work. Dr. Byrne reviewed and provided comments and edits. There was an additional independent editor who reminded the committee to better define terms for those not familiar with Sea Grant.

- Discussion
  - The committee needs to tighten up the introduction and executive summary.
  - A key recommendation will be to get rid of the 5% administrative cap on the National Sea Grant Office. It was in the 2010 report and will be in the 2012 report as well. There are other ways to keep an eye on the national office spending.
  - Dr. Orbach was concerned with the Challenges section on Pg. 23. It seemed to only pertain to money and integration with NOAA. He doesn't want it to look like our only challenge is buying power.
  - Mr. Vortmann said that the issue of allocation needs to be addressed by the National Office. We need to assert it more aggressively in the report. Admiral West said that it was worded more strongly and can be changed back.
  - Mr. Vortmann said he had a concern with the style. Pg. 9 on the response to the 2012 Report recommendations. Who is recommending and who is responding? Dr. Rabalais said that the Board is responding to the recommendations in what the National Office has or has not accomplished to meet the recommendations. It should be changed to "We recognize the following changes that have been made in response to the 2012 recommendations". Mr. Vortmann noted that recommendation number six (allocation plan) had not yet occurred. Dr. Orbach suggested that the Report should state that this has not yet occurred.
  - Mr. Vortmann noted in the Section 2 (Sea Grant Model) the language says that there are over 3000 scientists and researchers, but only 400 extension agents. It may be perceived that scientific research is almost 10 times the priority of extension. He doesn't want to portray the image that research is more important than the rest of Sea Grant. A discussion followed. It was agreed to use the phrase supports the work of more than 3000 scientists and researchers.
  - Dr. Orbach asked if it would be detrimental to the program to report on climate programs and the money associated with them. Mayor Harris said that the Board needs to stand up for what they believe in. Sea Grant can certainly justify why they are doing climate work. The Board then discussed moving the Climate section after the Social Science section and elaborating more on social science. Mayor Harris said as the Advisory Board it is our responsibility to not pull punches.
  - Admiral West said that Dr. Rabalais, Ms. Painter and he will be meeting with OAR Leadership on August 21, 2012. The meeting will be a courtesy for them to review the Report before it goes to Congress.
  - Dr. Byrne said he had a couple of comments as an outside reviewer.
    - Contact with the public is the hallmark of Sea Grant. There is data on the number of contacts that extension agents make and it is in the tens of thousands. We need to make that stand out.
    - The National Office requires an increase in overall funding and staff. It challenges the effectiveness of the program.
  - Admiral West then said that Carol Mason's comments were very useful. Dr. Byrne said congrats to Ms. Painter for her excellent job in coordinating the Report.

## **MOTION**

**Approve the 2012 Biennial Report with revisions as discussed (Orbach, 2<sup>nd</sup> Simmons)**

**Vote: Unanimous approval**

Ms. Ban, the Designated Federal Officer, said that there were no public comments and no members of the public at the meeting to make public comments.

Dr. Rabalais thanked everyone for their participation and adjourned the meeting.

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Bios:

Dr. Nancy Rabalais, Chair, National Sea Grant  
Advisory Board

Dr. Leon Cammen, Director, National Sea Grant  
College Program

Dr. Jonathan Pennock, President, Sea Grant  
Association



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**Dr. Nancy Rabalais**

Chair, National Sea Grant Advisory Board  
Executive Director and Professor, Louisiana  
Universities Marine Consortium

**Educational Background**

- **Ph.D., 1983, Zoology**  
The University of Texas, Austin, TX
- **M.S., 1975, Biology**  
Texas A & I University, Kingsville
- **B.S., 1972, Biology**  
Texas A & I University, Kingsville

**Research Interests**

- Biological oceanography-continental shelf ecosystems influenced by large rivers; distribution, dynamics and effects of hypoxia
- Estuarine and benthic ecology
- Integration of science and policy

**Current Projects**

- Coastal Change, Eutrophication and Hypoxia
- Cumulative Coastal Stressors
- Historical Reconstruction of Ecosystem Changes from Sediments
- Effects of the Macondo Oil Spill on Coastal Ecosystems (BP GoMRI Research Consortium)

Dr. Rabalais serves the Board of Trustees for the Consortium for Ocean Leadership, the Council for the University National-Oceanographic Laboratory System, the National and Southern Associations of Marine Labs, and the Board of Directors for GCOOS the Gulf of Mexico Coastal Ocean Observing System. Dr. Rabalais is an American Association for the Advancement of Science Fellow, an Aldo Leopold Leadership Program Fellow, Past Chair of the Ocean Studies Board and Past President of the Estuarine Research Federation. She has received several awards for the research that she and her collaborators have conducted on hypoxia in the northern Gulf of Mexico.



**Dr. Leon Cammen**  
**Director, National Sea Grant College Program**

Dr. Leon M. Cammen is the Director of NOAA's National Sea Grant College Program. Since joining Sea Grant in 1990, Dr. Cammen has been a Program Officer for about half the state Sea Grant Programs and has served as Research Director. From 2004 to 2010, he was the Program Manager for NOAA's Ecosystem Research Program, a matrix program that includes the programs and laboratories from OAR, NOS and NMFS that deal with coastal and ocean ecosystem research.

Prior to joining Sea Grant, Dr. Cammen was a research scientist at Bigelow Laboratory for Ocean Sciences in Maine. His research interests include benthic ecology, the microbial loop, respiratory physiology, benthic-pelagic coupling, and ecosystem modeling. Dr. Cammen has authored over 30 publications in the fields of marine ecology and biological oceanography

Dr. Cammen received his Ph.D. in Zoology from North Carolina State University in 1978. He carried out postdoctoral research as a National Research Council Canada Fellow at the Bedford Institute of Oceanography, as a NATO Fellow at the Institute of Ecology and Genetics of Aarhus University in Denmark, and at Skidaway Institute of Oceanography. In addition, he has been a visiting scientist at Odense University in Denmark and a visiting professor at Aarhus University, teaching Marine Ecology and Microbial Ecology.

**Jonathan R. Pennock**  
**Ph.D. University of Delaware, 1983**

- Associate Professor of Natural Resources & the Environment
- Director, Marine Program
- Director, Jackson Estuarine Laboratory
- Director, New Hampshire Sea Grant College Program
- President, Sea Grant Association

**Research Areas**

Estuarine Biogeochemistry; Phytoplankton Ecology; Eutrophication; Harmful Algal Blooms



**Bio-Sketch**

Dr. Pennock serves as director of New Hampshire Sea Grant, the UNH Marine Program and the Jackson Estuarine Laboratory at the University of New Hampshire where he is also an Associate Professor of Natural Resources. As Director of the Marine Program, he oversees the integration of marine research, education and outreach missions at the university. Dr. Pennock currently serves as President of the Sea Grant Association, representing the network of 32 NOAA Sea Grant Programs around the country. Dr. Pennock earned a B.A. in Biology from Earlham College (1978), and his M.S. in Marine Studies (1981) and Ph.D. in Oceanography (1983) from the University of Delaware. From there he worked briefly at the National Science Foundation before taking a faculty position with the University of Alabama and the Dauphin Island Sea Lab in 1988. In Alabama, he established his research and teaching program focusing on the impact of anthropogenic nutrient over enrichment on the production and health of estuarine and near-coastal environments. Between 1996 and 2002 he served as Chair of University Programs at the Dauphin Island Sea Lab overseeing undergraduate and graduate education in marine science for a consortium of 22 colleges and universities in the state of Alabama. Over the past 25 years, Dr. Pennock has published over 45 scientific articles on his research and served on the Boards of the Sea Grant Association, the Estuarine Research Federation, the Seacoast Science Center, the Cooperative Institute for Environmental and Estuarine Technology and the Coastal Response Research Center. He has also served on the Steering Committee for the NOAA National Eutrophication Assessment Program, as Co-Chair of the EPA Gulf of Mexico Program Estuarine Hypoxia Research Committee, and as a Scientific Team Member of the Harmful Algal Blooms Observing System program in the Gulf of Mexico.

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2012 State of Sea Grant  
Biennial Report to Congress  
Draft



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The most current version of the 2012 State of Sea Grant Biennial Report to Congress will be distributed at the Board Meeting and posted on the website.



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2010 State of Sea Grant  
Biennial Report to Congress



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# THE STATE OF SEA GRANT 2010

Impacts, challenges and opportunities

Biennial Report to Congress by the National Sea Grant Advisory Board, November 2010



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## *The State of Sea Grant 2010: Impacts, Challenges and Opportunities*

Biennial Report to Congress by the National Sea Grant Advisory Board, November 2010

### National Sea Grant College Program Biennial Report Committee Members

Dr. John V. Byrne, Chairman, President Emeritus, Oregon State University  
 Dr. Michael K. Orbach, Professor, Nicholas School of the Environment, Duke University  
 Rear Admiral Richard D. West, U.S. Navy (Ret.)  
 Dr. John T. Woeste, Professor Emeritus, University of Florida  
 Dr. Jonathan R. Pennock, incoming President, Sea Grant Association (SGA), Director, New Hampshire Sea Grant

### Ex Officio Committee Member

Dr. James D. Murray, National Sea Grant Office

### National Sea Grant Advisory Board Members

Dr. John T. Woeste, Chairman, Professor Emeritus, University of Florida  
 Richard Vortman, Vice Chairman, Past President, National Steel and Shipbuilding Co. (Ret.)  
 Dr. John V. Byrne, President Emeritus, Oregon State University  
 The Honorable Jeremy Harris, Former Mayor, Honolulu, Hawaii  
 Dr. G. Ross Heath, Dean Emeritus and Professor of Oceanography, University of Washington  
 Dr. Michael K. Orbach, Professor, Nicholas School of the Environment, Duke University  
 Dr. Nancy N. Rabalais, Professor, Louisiana Universities Marine Consortium  
 Rolland A. Schmitt, Former Director, National Marine Fisheries Service (Ret.)  
 The Honorable Harry Q. Simmons, Jr., Mayor, Caswell Beach, North Carolina  
 The Honorable Dr. William L. Stubblefield, Rear Admiral, NOAA (Ret.)  
 Rear Admiral Richard D. West, U.S. Navy (Ret.)

### Ex Officio Advisory Board Members

Dr. Leon M. Cammen, Director, National Sea Grant Office  
 Dr. E. Gordon E. Grau, President SGA, Director, Hawaii Sea Grant

### Biennial Report Staff

Amy Painter, National Sea Grant Office  
 Elizabeth Waters, planning consultant, Charlottesville, Virginia  
 Greg Aylsworth, graphic designer

### On the covers (from l-r)

Sleeping Bear Dunes National Lakeshore, Lake Michigan (Michigan Sea Grant);  
 A Taku Fisheries processing plant worker shows off a nice coho salmon just offloaded from a troller at the company's dock in downtown Juneau, Alaska. Alaska Sea Grant works with Alaska seafood processing plants to educate managers on how to write Hazard Analysis and Critical Control Point Plans and develop sanitation control procedures, both required by federal law (Kurt Byers, Alaska Sea Grant);  
 Puerto Rico Sea Grant actively participates in the promotion and implementation of a Caribbean tsunami warning system, similar to the one in the Pacific Region (Puerto Rico Sea Grant);  
 Earth Force Summit (Pennsylvania Sea Grant);  
 Pleasure boats abound on Peconic Bay during the Annual Maritime Festival in Greenport, New York, a working waterfront since the 18th century. This historic harbor, used by whalers, commercial fishers and even rum runners, is now a haven for artists, writers and musicians. The Peconic Estuary is vital to the ecological and economic health of Long Island's East End. (Barbara A. Branca, New York Sea Grant).





## National Sea Grant Review Panel

*A Federal Advisory Committee*



Dear Member of the Congress of the United States of America,

It is my pleasure to transmit to you on behalf of the National Sea Grant Advisory Board this report of the state of Sea Grant college programs throughout the United States. The 2008 Sea Grant Act (PL110-394) requires the Advisory Board, a federal advisory committee established by Congress, to prepare biennial reports to congress on the state of Sea Grant. This is the first report provided in response to this requirement.

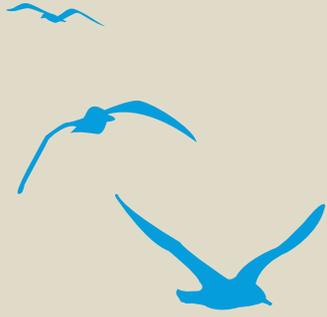
In preparing this report the Advisory Board reviewed all elements of the Sea Grant enterprise including the activities of the national office, the state programs and the Sea Grant Association. We assessed the effectiveness of the Sea Grant program, noted the constraints to realization of the Sea Grant potential to benefit the people of the United States and we recommend ways to maximize the future contributions of the Sea Grant program.

The Advisory Board finds the Sea Grant program to be an effective program that responds to local needs of the coastal and marine-related community while at the same time addressing critical national needs. Sea Grant's recently developed national strategic and implementation plans with which each state program is aligned, ensure that throughout the 32 state programs national goals as well as local needs will direct research, aggressively engage society and educate the public to enhance informed decision making concerning our marine and coastal resources.

In spite of its many accomplishments, constraints do exist that have impeded Sea Grant's achievement of its full potential. The recommendations that conclude this report provide guidance to Sea Grant, to the National Oceanic and Atmospheric Administration and the Congress of the United States which, if followed, will materially benefit the people of the United States.

The National Sea Grant Advisory Board looks forward to working with Congress, NOAA and the entire Sea Grant team to capture the academic capacity of the Sea Grant colleges and to maximize the benefits Sea Grant can provide to our country and its coastal communities.

John T. Woeste,  
Chair, National Sea Grant Advisory Board



## The National Sea Grant Advisory Board,

a federal advisory committee established by Congress under the Federal Advisory Committee Act, is pleased to report to the U.S. Congress on the status of the National Sea Grant College Program. This is the first response to the requirement under PL 110-394 for a biennial report on the status of Sea Grant. Included in the report are the Advisory Board's assessment of Sea Grant impacts, the program's effectiveness in responding to changes in national priorities, the constraints that prevent Sea Grant from living up to its originally envisioned promise and the outlook for the future. The report concludes with recommendations for action that will enhance Sea Grant's ability to contribute to the fulfillment of national goals in the future, building on past national investments.

## The Sea Grant Model

Congress established Sea Grant in 1966 to bring practical scientific information from the nation's universities to coastal businesses, citizens and all levels of government in order to capture the economic and social benefits of the nation's oceans, coasts and Great Lakes in a sustainable way. In its first four decades, Sea Grant has worked with thousands of public and private partners across the country to create and preserve coastal jobs, balance economic development and resource protection, and create an informed coastal citizenry.

Today, Sea Grant is a network of 32 university-based state programs administered by the National Oceanographic and Atmospheric Administration (NOAA) through the National Sea Grant Office.

The Sea Grant model—integrated research, stakeholder engagement and education—offers many advantages in addressing contemporary

coastal challenges. The network supports and draws on the work of more than 3,000 scientists at over 300 colleges and universities to build a sound scientific foundation for the use and preservation of the nation's coastal and Great Lakes resources. Sea Grant has been a leader in public engagement activities in coastal communities for decades. Over 375 Sea Grant extension agents are working directly with stakeholders to prepare for climate change impacts, preserve and build the nation's fishing and aquaculture industries, and deal with such coastal crises as Hurricane Katrina and the Deepwater Horizon oil spill.

Sea Grant's impacts are impressive for the federal investment directed to the program. Federal dollars invested in Sea Grant require a 50% state match, and most state programs exceed that requirement. In 2010, federal Sea Grant investments of \$59.3 million federal, \$9.6 million pass thru, \$33.1 million match dollars and more in private support, magnifying the impact of taxpayers' investment.

## National Priorities and Impacts

Sea Grant's 2009-2013 strategic plan includes four national priority areas chosen to align with NOAA agency-wide priorities:

- healthy coastal ecosystems
- sustainable coastal development
- safe and sustainable seafood supply
- hazard resilience in coastal communities

Within these focus areas, Sea Grant programs are helping communities make decisions concerning coastal land use and offshore energy development. They are preventing seafood-related illnesses and saving consumers millions of dollars by training seafood handlers. Sea Grant is conducting research and outreach activities that are building the nation's aquaculture industries and are resulting in more effective fishing practices, saving jobs and building local economies. Sea Grant is helping communities prepare for climate change and working with other parts of NOAA to design regional approaches to coastal resource protection and use.

The 2009-2013 strategic plan is part of Sea Grant's new Planning, Implementation and Evaluation (PIE) system adopted in 2009. The new system puts renewed emphasis on national priorities and includes national and state performance measures that will track Sea Grant contributions toward advancing national priorities and achieving national goals.

## Constraints on Realizing Sea Grant's Potential

During its earliest years, NOAA was regarded as a science agency. Local capacity and service to the public were not highlighted, leaving Sea Grant's outreach and education functions somewhat disconnected to NOAA's central focus. As the outreach/engagement functions of NOAA increase, the Sea Grant program can play a significant role in helping to marry national programs with local and regional presence. Realizing Sea Grant's potential in this arena will require NOAA leadership at all levels to embrace the importance of engaging the public in carrying out its mission. Finding ways to integrate Sea Grant with other NOAA coastal programs so they function together as one is also a challenge. Clearer delineation of individual program roles and responsibilities within NOAA is needed to help Sea Grant—and other coastal programs—maximize their contributions.

Despite Sea Grant's many accomplishments and contributions to national goals, there have been perceptions among some leaders and decision-makers that Sea Grant is not a national program, but rather a collection of independent state programs. In the past two years, Sea Grant has taken a number of steps to strengthen its national focus: adoption of national priorities for the entire network, alignment of state plans with the national plan, and adoption of performance measures to demonstrate national impact. However, past perceptions, combined with Sea Grant's difficulty in aggregating and communicating its significant national contributions, may have contributed to level appropriations for Sea Grant over the past two decades. Level appropriations combined with inflation have resulted in a loss of buying power for Sea Grant. This erosion in buying power has impeded Sea Grant's capacity at both the national and state levels to respond fully to national coastal challenges and opportunities.

## Last year alone, SEA GRANT

- Was instrumental in creating or retaining over 3,500 jobs and 650 businesses
- Assisted 160 coastal communities to adopt or implement hazard resiliency practices
- Supported nearly 1,700 undergraduate and graduate students to develop a diverse, highly qualified workforce

## Outlook and Recommendations

The outlook for Sea Grant and other NOAA ocean and coastal programs is one of increased complexity and uncertainty. Population growth, climate change, increased pressure on coastal and marine environments and more conflicts related to the use of limited natural resources all point to unprecedented challenges. To respond effectively, Sea Grant must be a strong, well-integrated national program that concentrates its energies where it has the most to offer. The program needs to support research in high priority areas and serve as a leader in engagement activities. Sea Grant must bring its broad base of academic expertise to coastal crises whenever and wherever they occur.

If Sea Grant is to achieve its potential to help address pressing national needs, important actions need to be taken as soon as possible.

- 1.** The entire Sea Grant network must focus its efforts on advancing national priorities, while remaining sensitive to local needs.
- 2.** The ability to track and report the cumulative measurable impacts of Sea Grant activities on achieving national goals should be a high priority for Sea Grant.
- 3.** NOAA coastal programs, including Sea Grant, should be more fully integrated in order to maximize NOAA's contributions to national goals.
- 4.** Sea Grant should capitalize on its nationally recognized leadership in stakeholder engagement within coastal and Great Lakes communities as federal-state-local communication and collaboration become more critical to addressing needs and responding to crises.
- 5.** Sea Grant should continue to re-examine its priorities and methods of operation in order to respond to the nation's most urgent needs.
- 6.** Significant additional resources should be provided to the National Sea Grant College Program in order to reverse the erosion of buying power and maintain a dynamic program with rapid response capability.



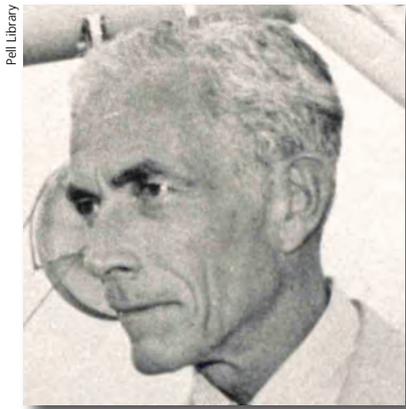


# INTRODUCTION

The National Sea Grant College Program was created in 1966 at a time of major national concern about the future of our coasts and oceans. Then, as now, population growth along the coasts, decline in wild fisheries, and tension between protection and use of ocean and coastal resources threatened the future health and vitality of ocean and coastal resources and communities.

Congress established Sea Grant to unite the academic power of the nation's universities with public and private sector partners in order to capture in a sustainable way the economic and social benefits of the oceans, coasts and

Great Lakes. Inspired by the contributions of the Land Grant college system, Senator Claiborne Pell of Rhode Island and others saw the need to create a similar program to harness the best science available to inform public and private decision-making "for the wise use and protection" of America's complex and dynamic coastal and ocean environments.



Pell Library

↑ Senator Claiborne Pell

Today, Sea Grant is a national network of 32 university-based state programs (Appendix 1), administered by the National Oceanic and Atmospheric Administration (NOAA) through the National Sea Grant Office (National Office). Sea Grant is advised by the National Sea Grant Advisory Board (Advisory Board), and supported by the Sea Grant Association (SGA),

an association of the academic institutions that serve as host institutions for Sea Grant within their respective states. The broad reach of the Sea Grant network provides NOAA and the nation with direct links to an extensive array of scientific expertise and to the people living and working on America's coastlines and beyond.

From the outset, the Sea Grant Program has taken a leadership role in identifying and addressing emerging coastal and ocean issues. Sea Grant has been instrumental in bringing national attention to issues such as coastal land use, aquaculture, wild fisheries technology, invasive species and coastal literacy. Often, the programs started by Sea Grant have been embraced and expanded by other agencies and organizations, frequently in partnership with Sea Grant.

The Sea Grant reauthorization process provides Congress with regular opportunities to guide, adjust and enhance the program. Over the years, Sea Grant has made numerous operational and programmatic changes in response to this guidance. The 2008 Sea Grant Act (PL110-394) requires the Advisory Board, a federal advisory committee established by Congress, to prepare biennial reports to Congress on the state of Sea Grant. This is the first report provided in response to this requirement. In preparing the report, the Advisory Board has reviewed the Sea Grant enterprise in order to assess the current status of the program and to suggest ways to maximize the contributions of the program in the future. The Board's findings and recommendations are included in this report.

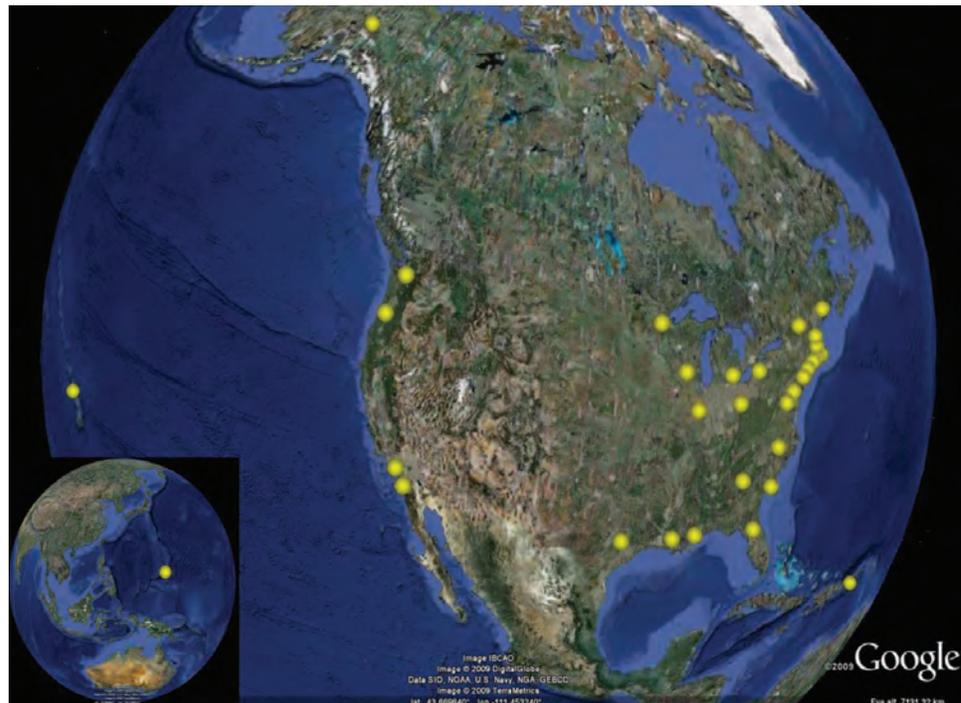
The report is organized into the following major sections:

- **The Sea Grant Model**
- **National Priorities and Impacts**
- **Constraints on Realizing Sea Grant's Potential**
- **Outlook and Recommendations**

It includes an assessment of recent Sea Grant impacts, the Program's effectiveness in responding to changes in national priorities, the challenges it faces in trying to fulfill its originally envisioned promise and an outlook for the future. The report concludes with recommendations for action designed to enhance Sea Grant's ability to contribute to the fulfillment of national goals in the future, building on past investments.

Web links to all reports cited in the document may be found in Appendix 2.

## SEA GRANT'S 32-PROGRAM NATIONAL NETWORK



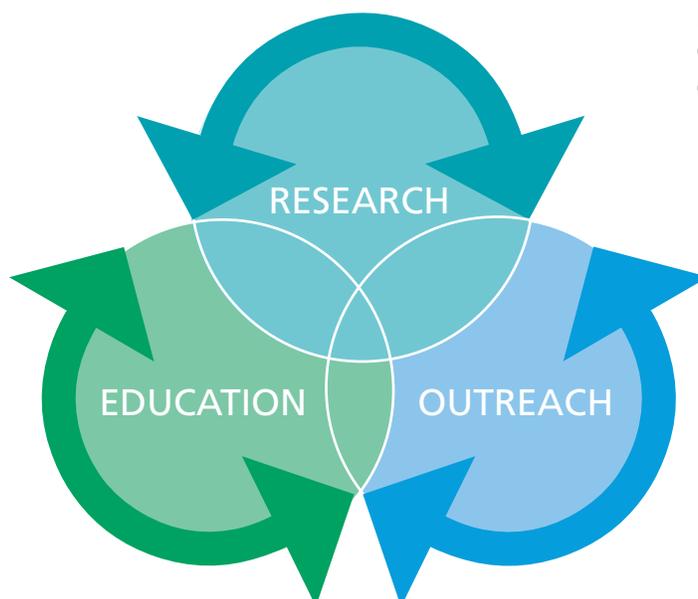
# THE SEA GRANT MODEL

*Sea Grant researchers, extension agents and educators provide a multi-dimensional way to address national priorities and respond rapidly to crises and opportunities that arise in coastal, ocean and Great Lakes environments.*

The Sea Grant model is designed to combine research, outreach and education in ways that allow for an integrated approach to solving problems and capturing opportunities. On-the-ground experts, located in every coastal and Great Lakes state, translate sound scientific information into tools, products and services that benefit coastal residents and their communities every day. Sea Grant experts address national priorities at the local level, while identifying citizens' needs in ways that help guide state and national research agendas. This two-way flow of services and information enables Sea Grant and NOAA to meet demonstrated needs, support businesses and help policy-makers make balanced, well-informed science-based decisions.

From its inception, the hallmarks of Sea Grant's work have been:

- **quality research** to answer critical questions and generate solutions that often include new technologies
- **local technical assistance** teams in communities around the country that share and explain new discoveries and empower stakeholders to address national, state and local issues as they emerge
- **education programs** that create informed citizens in coastal and Great Lakes communities and help prepare the next generation of citizens, workers and professionals involved with our nation's coastal resources, communities and economies



## Mobilizing a nationwide team of scientists

The location of state Sea Grant leadership in major universities gives the Program access to researchers working to identify the best ways to use and manage our coastal, ocean and Great

Lakes resources in a sustainable fashion. Today, Sea Grant draws on and supports the work of over 3,000 scientists and researchers from over 300 institutions. Sea Grant supports natural, biological and social science research in a wide array of disciplines. It helps illuminate scientific, technical and socio-economic issues related to the use and management of coastal, ocean and Great Lakes resources. Peer-reviewed Sea Grant research provides practical scientific information to support the work of Sea Grant and other agencies, organizations and businesses. When urgent new questions arise, Sea Grant can call on this network of scientists for information and science-based solutions.



↑ Oregon State University professor Chris Langdon holds juvenile Kumos oysters raised from eggs. With grants from Oregon Sea Grant and cooperation from Oregon shellfish growers, Langdon has developed a system that uses ultraviolet light to rid hatcheries of a highly pathogenic organism, *Vibrio tubiashii*.

## Providing local presence and expertise for every coastal locality

Sea Grant provides an on-the-ground workforce in coastal communities to help them address problems of local, regional and national significance. Collectively, the 32 state Sea Grant programs have over 375 extension agents engaging directly with citizens, businesses and local governments to address national and regional priorities and respond to state and local needs. These extension agents have experience in a broad range of scientific and technical areas. They have access to highly specialized scientists and they understand the particular cultures and constituencies they serve. Extension agents are skilled at sharing new knowledge and convening stakeholders at the local, state and regional levels to forge informed consensus on new policies and management strategies. This experienced team of experts mobilizes to respond to needs wherever they arise and transfers research needs back to their university communities.

## Educating workers, citizens and tomorrow's professionals

Sea Grant is a leader in K-12, undergraduate, graduate, professional, technical and public education in coastal and Great Lakes states. It works closely with its host universities, the NOAA Office of Education, the National Marine Educators Association, the Centers for Ocean Sciences Education Excellence (COSEE) and others to develop school programs, workforce training and professional education for the next generation of coastal leaders.

Sea Grant education and outreach specialists around the country are providing training in seafood safety regulations, use of new fishing gear and other topics that advance the safety and productivity of coastal-related commerce. Sea Grant pioneered the first U.S. program training volunteers to conduct sampling and analysis of water quality indicators, an approach used widely today by Sea Grant and countless other governmental and non-governmental organizations. Sea Grant funding supports graduate students in coastal-related biological, natural and social sciences. Sea Grant's Knauss Marine Policy Fellowship Program has brought over 800 graduate students interested in natural resource policy to Washington, D.C. to work with federal agencies and congressional offices as part of their professional training.

Sea Grant research, extension and education programs are supported by a cadre of nearly 90 communications specialists who provide information to many constituencies through a variety of media, including print, web, video, radio and television outlets.



↑ Students learn about aquatic plants on the R/V Clinton during a Great Lakes Education Program (GLEP) cruise on the Detroit River. The GLEP program is designed to stimulate interest in the Great Lakes and help students understand their role in protecting these vital freshwater resources.

## Focusing on critical national issues

In recent years, Sea Grant has stepped forward to assist with some of the nation's most critical coastal crises and challenges. In the earliest stages of the Hurricane Katrina crisis, Sea Grant programs issued public service announcements in multiple languages with basic public health information related to the adverse effects of contaminated water. Louisiana Sea Grant built a website to serve as a clearinghouse for hurricane recovery resources for the public, businesses and policymakers. In the ensuing months and years, the Sea Grant network has provided technical assistance throughout the region to support the recovery of coastal communities and economies.



↑ Hurricane Katrina

In response to the Deepwater Horizon oil spill, Florida, Louisiana, Texas and Mississippi-Alabama extension and legal specialists have been working with fishing communities to provide information on the spill and facilitate interaction with BP to help with the damage claim process. Mississippi-Alabama and Florida Sea Grant are providing hazmat clean-up training for both professionals and citizens in the Gulf region. Four South Atlantic state programs held summits to identify potential risks and precautions that should be taken in response to the oil spill. Sea Grant has worked with NOAA's Coastal Data Development Center to create a web-based clearinghouse for information on oil spill research and monitoring activities that can be used by interested stakeholders throughout the Gulf region and beyond.

Sea Grant is also applying the strength and diversity of its network to address the impacts of climate change in coastal communities. At the request of the governor, Maine Sea Grant collaborated with the University of Maine Climate Change Institute and others to produce a document that serves as the foundation for statewide climate preparation. North Carolina, Oregon, Washington, Wisconsin, Woods Hole and other Sea Grant programs are participating with government and other partners in statewide climate-change planning. As a result, our nation is becoming better prepared to deal with anticipated climate change impacts such as sea level rise, changes in fisheries ranges, and loss of habitat.



Delaware Sea Grant, University of Delaware

↑ Sea Grant programs are investigating renewable energy options to aid the transition to a clean energy economy. The University of Delaware and Gamesa Technology Corporation installed this utility-scale 2-megawatt wind turbine in Lewes.



Georgia Sea Grant (from expedition led by Dr. Samantha Iyfe)

↑ Throughout the oil spill disaster, Georgia Sea Grant worked with the state's Department of Natural Resources to develop a comprehensive monitoring and sampling protocol for Georgia's waters and coastal ecosystem.



Louisiana Sea Grant

← St. Tammany, LA Oil Spill Forum, June 1, 2010. Sea Grant has facilitated communication between local stakeholders and incident response personnel to identify and address immediate concerns and provided timely, science-based information to the public, including Vietnamese and Hispanic communities, and the tourism, fishing and recreational sectors.

Since the oil spill, Sea Grant has organized 47 meetings involving over **4,500** participants in Florida, Alabama, Mississippi, Louisiana and Texas to provide science-based information to communities and to facilitate communication between local stakeholders and incident response personnel.

# A PRESCRIPTION FOR CLEAN WATER:

SEA GRANT PROGRAMS TEAM UP TO KEEP DRUGS OUT OF DRINKING WATER

Whether flushed down toilets or disposed of in garbage cans, unwanted drugs are contaminating our drinking water and causing deformities in fish. A 2008 investigation launched by the Associated Press found pharmaceuticals in the drinking water of at least 41 million Americans and in the water supplies of 24 major metropolitan areas. Illinois-Indiana, Michigan, New York, Ohio, Minnesota and Pennsylvania Sea Grant are working to help citizens address dangerous drug disposal habits by establishing safe, legal collection programs in communities. Sea Grant educators and outreach experts have created programs and activities for 4-H youth, scouts and after-school youth clubs. The idea is that these youth will serve as important agents for change to help protect and improve the quality of our waters. Sea Grant and the U.S. EPA Great Lakes Office developed a resource kit for those interested in starting a "take-back" program or creating other disposal programs. The kit includes background information on unwanted medicines, what's known about their impact on the environment, and numerous resources for addressing the problem, including extensive collection program case studies, and is available online at [www.iisgcp.org/unwantedmeds](http://www.iisgcp.org/unwantedmeds).



## Fostering partnerships

Working with a wide range of coastal interests and users—fishermen, ports, tourism industries, seafood processors, energy producers and others—makes public-private partnerships central to Sea Grant's activities. In an era of growing complexity in the interactions between human activities and the natural environment along the coasts, Sea Grant, with a long history as a trusted partner and source of objective information, offers NOAA the crucial capacity to solve problems and resolve conflicts at local, state and regional levels.



↑ Congressman Frank Pallone (6th District) (center) who worked for the New Jersey Sea Grant Extension Program, presented this year's Stew Tweed Fisheries and Aquaculture Scholarships at Ocean Fun Days, one of Sea Grant's showcase public outreach events sponsored by private sector partner New Jersey Natural Gas.

Within NOAA, Sea Grant partners regularly with the National Marine Fisheries Service, the National Weather Service, the National Ocean Service, including



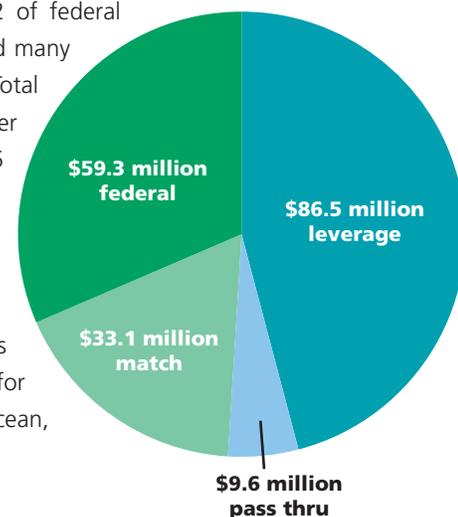
↑ Dave Goethal, left, a fisherman in Hampton, N.H., and deck hand Paul Kuncho hauling back one of a new topless shrimp trawl designed to reduce finfish bycatch in the pink shrimp fishery in the Gulf of Maine. New Hampshire Sea Grant collaborated with Goethal on the design, and secured funds from NOAA's National Marine Fisheries Service to make several topless trawls for demonstration purposes. The trawl has reduced Gulf of Maine herring by-catch by 90% without loss of shrimp.

the Coastal Services Center and the National Estuarine Research Reserve System, and the Office of Oceanic and Atmospheric Research, including the Climate Program Office, to advance NOAA's mission. State Sea Grant programs cooperate regionally and throughout the network on sustainable fishing gear development, preserving waterfront access for citizens and water-dependent businesses, and protecting water quality and habitat.

## Leveraging federal dollars for greater impact

Sea Grant is required to match every \$2 of federal funding with \$1 of non-federal funds, and many state programs far exceed this match. Total investments in the Sea Grant program over the past two years have been \$196.5 million. Of these \$133.1 million are federal dollars and \$63.4 million are state match. In 2010, Sea Grant leveraged \$86.5 million from other partners and sources. By leveraging federal funds, Sea Grant expands its reach and effectiveness in planning for and managing the future of America's ocean, coastal and Great Lakes resources.

↓ Sea Grant federal, pass thru, match and leverage dollars for 2010





# NATIONAL PRIORITIES AND IMPACTS

*Sea Grant is increasingly focused on advancing national priorities while also attending to state and regional planning and management issues.*

Since its creation in 1966, Sea Grant has continued to evolve in response to new guidance from Congress and changing priorities within NOAA and in coastal communities and industries.



In its 2002 Sea Grant reauthorization (PL107-299), the United States

Congress directed NOAA to contract with the National Academy of Sciences/National Research Council (NRC) to review Sea Grant's process of program evaluation and make recommendations to improve its effectiveness. The resulting NRC report, *Evaluation of the Sea Grant Review Process* (2006), included recommendations for revising and strengthening the process of evaluating state Sea Grant programs.

The NRC's recommendations were followed with new Congressional authorizing legislation in 2008 which supported the NRC's recommendations. The reauthorization encouraged collaboration at the regional and national levels and highlighted Sea Grant's role in supporting coastal and ocean resource management. The legislation also changed the name of the National Sea Grant Review Panel to the National Sea Grant Advisory Board. It called for an elevated role for the Advisory Board, including providing the National Sea Grant Office with strategic advice and submitting biennial reports to Congress on the state of Sea Grant.

**Sea Grant has responded to this most recent Congressional input with a substantial realignment of the Sea Grant program that includes:**

- **2009-2013 national priorities**
- **a new planning, implementation and evaluation system**
- **an ongoing commitment to regional leadership**
- **new roles for the National Sea Grant Advisory Board**

All elements of the Sea Grant network—the National Office, the state programs, the Sea Grant Association and the Advisory Board—are working closely to produce the desired outcomes from this realignment.

## 2009-2013 Sea Grant National Priorities

*The NOAA National Sea Grant Strategic Plan 2009-2013: Meeting the Challenge* was adopted in 2009. It includes four national focus areas chosen to align with current NOAA agency-wide priorities: healthy coastal ecosystems, sustainable coastal development, safe and sustainable seafood supply and hazard resilience in coastal communities. The plan also embraces three cross-cutting goals—sound scientific information, an informed public, and open decision-making processes—that form an integral part of the work in which Sea Grant engages.

Specific goals, objectives and performance measures have been set for each of the four focus areas in the *Sea Grant Implementation Plan 2009-2013*. National teams have been established to guide implementation of the national, regional and state plans in an effective, coordinated manner. Significant contributions in all of the national focus areas are documented on an ongoing basis.

**IN 2009, 186 COASTAL  
COMMUNITIES RESTORED  
DEGRADED ECOSYSTEMS  
AS A RESULT OF  
SEA GRANT ACTIVITIES.**



Alaska Sea Grant - Kurt Byers

# HEALTHY COASTAL ECOSYSTEMS

## NATIONAL GOALS →

- Sound science to support ecosystem-based management
- Widespread use of ecosystem-based approaches to managing land, water and living resources in coastal areas
- Restored function and productivity of degraded ecosystems

Healthy coastal ecosystems are the foundation for life along the coast, but increasingly rapid coastal development, global overfishing, and other human activities are leading to water quality degradation, decline of fisheries, wetlands loss, proliferation of invasive species and a host of other challenges that need to be understood in order to restore and maintain these ecosystems.

Millions of Americans suffer from waterborne illnesses each year. Sea Grant has helped redefine approaches to contaminant monitoring, develop molecular fingerprinting methods that can distinguish between human and nonhuman sources of fecal matter, and reduce chemical pollutants in waterways by organizing pharmaceutical collection events. In 2009, California Sea Grant scientists identified methyl mercury, a highly toxic form of mercury, in the

groundwater at two sites. Findings indicated that the amount of mercury being introduced into coastal waters from these two sites may be as great as the total amount of mercury entering these coastal waters as a result of atmospheric deposition. Illinois/Indiana Sea Grant, MIT Sea Grant and other state programs have contributed significantly to advancing understanding about toxic pollutants in water and wetlands.

Sea Grant programs nationwide have mobilized to control and mitigate the negative impacts of invasive species through their research, outreach and education activities. In a two-year period, more than 3,000 fish producers learned about control of invasive species from Sea Grant workshops. Maryland Sea Grant developed a comprehensive invasive species rapid response plan template for use by states in the Mid-Atlantic region and beyond

for responding to newly introduced invasive species. Every coastal and Great Lakes state that has an aquatic nuisance species plan did so with input from their Sea Grant Program. Appendix 3 provides a link to additional impacts.

← A brightly colored blood star (*Henricia leviuscula*) on the rocky Alaska coastline.

→ Sea Grant supports the development of new policies, technologies and processes that promote restoration of ocean, coastal and Great Lakes ecosystems in ways that balance the needs of the natural systems with the needs of the humans who inhabit them.



**IN 2009, 435 COASTAL COMMUNITIES ADOPTED OR IMPLEMENTED SUSTAINABLE (ECONOMIC AND ENVIRONMENTAL) DEVELOPMENT PRACTICES AND POLICIES (E.G., LAND-USE PLANNING, WORKING WATERFRONTS, ENERGY EFFICIENCY, CLIMATE CHANGE PLANNING, SMART GROWTH MEASURES, GREEN INFRASTRUCTURE) AS A RESULT OF SEA GRANT ACTIVITIES.**



Ruperto Chaparro, Puerto Rico Sea Grant

# SUSTAINABLE COASTAL DEVELOPMENT

## NATIONAL GOALS →

- **Healthy coastal economies**
- **Coastal communities that make efficient use of land, energy and water resources**
- **Informed coastal citizenry to balance multiple uses and achieve environmental sustainability**

According to NOAA's *State of the Coast Report*, the U.S. coastal zone contributed \$7.9 trillion to the nation's GDP in 2007. Coastal and marine waters provide 69 million jobs. Economists estimate non-market economic value from the nation's ocean and coastal resources to be over \$100 billion a year. Coastal communities provide vital economic, social and recreational opportunities for millions of Americans. However, decades of population migration have transformed our coastal landscapes and intensified demand on finite coastal resources. In 2010, approximately 160 million people (52%) of the nation's population lived in the 673 U.S. coastal counties, an increase of 49.6 million people since 1970. That growth trend continues. The increase in population has resulted in new housing developments and recreation facilities, a new generation of energy development activities, port expansions and other new business activities. These changes are placing tremendous pressure on coastal lands, water supplies and traditional ways of life.



↑ Fishtown Harbor, Leelanau Peninsula, Michigan. Changing development patterns along the coast are threatening to displace traditional water-dependent industries and cut off water and beach access for coastal residents. Sea Grant provides information, tools and techniques to support working waterfronts.

← The San Juan coastline. Citizens and decision-makers have an urgent need for tools that will help them evaluate the implications of land-use changes, coastal development pressures, and increased resource use in approaching the policy and management decisions they face. Sea Grant's well-established role as a trusted broker makes it a key player in facilitating the development and implementation of new coastal policies, plans, management approaches and consensus-building strategies.

Sea Grant is engaging a diverse array of stakeholders to work on building vibrant coastal economies and communities that function within the carrying capacity of their ecosystems. USC Sea Grant is bringing science and policy research to the ports of Los Angeles and Long Beach, CA to advance sustainable management practices at this complex that handles close to 45% of all marine freight entering the U.S. Texas Sea Grant facilitated the testing of new fuel-efficient trawl gear. In Brownsville, Texas, more than 85% of the vessels have adopted the experimental gear, saving almost \$9 million in fuel costs in 2009 alone and an estimated 200 jobs. Virginia Sea Grant, Maine Sea Grant and others are leading an emerging national coalition on maintaining working waterfronts and coastal access in partnership with state coastal zone management programs, Boat US, the Urban Harbours Institute, the Coastal States Organization, and others, and work done by Delaware Sea Grant helped advance the development of a \$1.6 billion wind farm project that will generate renewable energy for the state. Appendix 3 provides a link to additional impacts.

**IN 2009, 27,748 STAKEHOLDERS MODIFIED THEIR PRACTICES USING KNOWLEDGE GAINED IN FISHERIES SUSTAINABILITY, SEAFOOD SAFETY AND THE HEALTH BENEFITS OF SEAFOOD, WHILE 366,687 FISHERS USED NEW TECHNIQUES AS A RESULT OF SEA GRANT ACTIVITIES.**



Ben Young Landis, North Carolina Sea Grant

# SAFE AND SUSTAINABLE SEAFOOD SUPPLY

## NATIONAL GOALS →

- Sustainable supply of safe seafood
- Healthy domestic seafood industry
- Informed consumers who understand sustainable harvesting, health benefits of seafood consumption and seafood safety

Fisheries provide over \$60 billion to the U. S. GDP annually (NOAA FY 2010 Budget Summary). At the same time, the U.S. has witnessed the decline of many of its major fisheries while seafood consumption is on the rise, resulting in a multi-billion dollar seafood trade deficit. Seafood safety is also a growing concern as international trade increases and fish diseases and contamination become larger problems.

Sea Grant is working closely with a wide range of federal, state and local partners to find ways to balance the protection of species with the protection of economies. Sea Grant programs in Rhode Island and New Hampshire supported research on new shrimp trawls and haddock nets that resulted in larger shrimp being caught, with 90% reduction in bycatch of herring—a fish that is important to both the economy and the marine food web. In Alaska, longline fishing fleet solutions developed by Washington Sea Grant reduced bycatch of endangered short-tailed albatrosses by nearly 100 percent, preventing the closure of a fishery worth \$300 million annually. Connecticut Sea Grant training programs have led to the reopening of 1,219 acres of shellfish grounds.

A number of Sea Grant programs are working on both wild fish restoration and aquaculture development. In South Carolina, field trials performed by the S.C. Sea Grant Consortium and its partners have determined that stocking red drum in estuaries contributes significantly to restoring the state's most popular coastal recreational fish population. In Florida, Sea Grant research and outreach are enhancing the production and profitability of the Florida hard clam industry, which produces more than 500 jobs, \$1.3 million in business taxes and \$25 million in income annually. Wisconsin Sea Grant research has opened the door to commercial yellow perch aquaculture, leading one private company benefiting from the research and technical assistance to invest \$50 million in the industry with plans to expand within the next five years to employ 100 people and harvest 8.5 million pounds annually, at a value of more than \$1 billion.

In addition to its efforts to enhance the supply of U. S. seafood, Sea Grant provides training activities that prevent seafood-related illnesses, thereby saving consumers millions of dollars. Sea Grant extension professionals across the country have been core partners in the National Seafood Hazard Analysis and Critical Control Point (HACCP) Alliance. This intergovernmental partnership with industry and academia has provided seafood safety training to about 90 percent of all nationally-based seafood processing firms and more than 26,000 people since 2001. The U.S. Department of Health and Human Services estimates that the HACCP program has prevented between 20,000 and 60,000 seafood-related illnesses a year, translating into savings of about \$155 million annually. The U.S. Department of Agriculture awarded the Seafood HACCP Alliance its "Group Award for Excellence." New York Sea Grant has taken a lead role nationally in providing on-line training in HACCP. Appendix 3 provides a link to additional impacts.



Louisiana Sea Grant

↑ Louisiana Sea Grant's Lucina Lampila, an associate professor with Louisiana State University shows how experts sniff fresh seafood for signs of oil contamination. The Gulf Sea Grant programs have conducted seafood safety sensory trainings and offered workshops on safe handling procedures for processors in several states.

← Oyster shells are recycled to restore reefs in North Carolina as part of a federal stimulus project in April 2010. North Carolina Sea Grant will work with the N.C. Coastal Federation to evaluate the economic benefits of the restored oyster reefs.

**IN 2009, 160 COASTAL COMMUNITIES  
ADOPTED OR IMPLEMENTED HAZARD  
RESILIENCY PRACTICES TO PREPARE FOR  
AND RESPOND TO OR MINIMIZE COASTAL  
HAZARDOUS EVENTS AS A RESULT OF  
SEA GRANT ACTIVITIES.**

Madeline Gotkowitz, University of Wisconsin-Extension



# HAZARD RESILIENCE IN COASTAL COMMUNITIES

## NATIONAL GOALS →

- **Widespread understanding of the risks of living, working and doing business along the coasts**
- **Community capacity to prepare for and respond to hazardous events**
- **Effective response to coastal disasters**

Sea level rise, the increased number and intensity of coastal storms, the ongoing threat of oil spills and other natural and human hazards are putting more people and property at risk along the nation's coasts, with major implications for human safety and the economic and environmental health of coastal areas. Sea Grant is using its established presence in coastal communities to help local citizens, decision-makers and industries plan for hazardous events and optimize the ability of their communities to respond and rebuild.

North Carolina Sea Grant helped lead a two-year review of the state's ocean policies, which resulted in numerous recommendations, including the creation of a coastal vulnerability index. Texas Sea Grant's policy guidance on creating a resilient coast is contributing to planning for "smart growth" along the Gulf coast, as is the Louisiana Sea Grant Legal Program's guidebook on coastal hazard mitigation. Hawaii, Alaska and Oregon Sea Grant have research and education programs underway to prepare their states and communities for anticipated tsunamis.

A central focus of Sea Grant's work in building hazard resilience in coastal communities involves helping communities prepare for and respond to the impacts of climate change. Connecticut Sea Grant, Mississippi-Alabama Sea Grant and many other state programs are working with local communities to develop climate change management strategies as part of local planning processes.

In response to the new national emphasis on climate change, Sea Grant has allocated \$6 million to climate change initiatives that provide \$1.5 million for community preparedness activities; \$2.9 million for local and regional climate change mitigation and adaptation research; \$200,000 in regional climate engagement grants to strengthen partnerships between Sea Grant and NOAA regional teams; and \$500,000 for small business alternative and renewable energy projects. The Sea Grant Association is maintaining an up-to-date summary of Sea Grant climate change work in regions around the country entitled: [Sea Grant's Role in Understanding and Preparing for Climate Change along America's Coast](#). Appendix 3 provides a link to additional impacts.



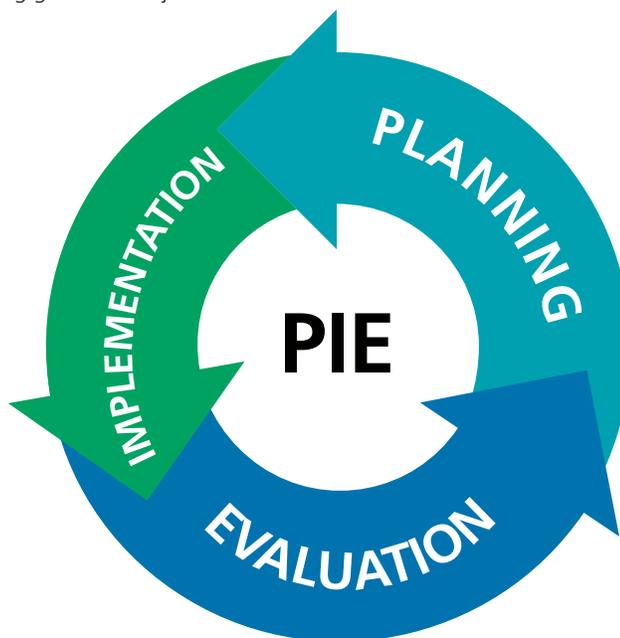
Delaware Sea Grant

- ▶ Broadkill Beach, Delaware. Coastal communities are increasingly vulnerable to shoreline erosion and hazardous events brought on by climate-related and land-use changes. Sea Grant's work with NOAA's National Weather Service and the National Ocean Service, regional ocean observation systems, and other partners to make hazard-related data and data-derived products available during crisis events.
- ◀ Communities need information and tools to help assess the risks they face and to identify options to minimize those risks. Sea Grant works with partners to develop risk assessment tools, economic and environmental impact models, and other mechanisms to help families, businesses and communities understand their risks and take them into account in making decisions.

Sea Grant’s new Planning, Implementation and Evaluation System enables programs to report national successes. In 2009, for instance, **31,817 acres** of degraded ecosystems were restored across the nation as a result of Sea Grant activities.

## A new Planning, Implementation and Evaluation System

The adoption of the national strategic plan and the four national priority areas is just one part of Sea Grant’s new Planning, Implementation and Evaluation system (PIE), developed in response to the NRC recommendations regarding Sea Grant’s evaluation processes. PIE is fully outlined in: *An Enhanced and Integrated Strategic Planning and Program Assessment Strategy for the National Sea Grant College Program*. The system includes development of a national strategic plan every four years, adoption of individual state plans aligned with the national plan, and a peer-review evaluation process at the end of the four-year process to assess the success of state programs in meeting goals and objectives.



↑ Ohio Sea Grant Director, Jeffrey M. Reutter presents to a site review team (SRT). Once every four years, a SRT visits each Sea Grant Program. The SRT reviews and discusses broad issues related to: 1) Program Management and Organization; 2) Stakeholder Engagement; and, 3) Collaborative Network/NOAA Activities.

During 2009, all state Sea Grant plans went through a rigorous review process by a sub-committee of the Sea Grant Advisory Board and the National Sea Grant Office to be sure they were aligned with the national strategic plan and that state efforts will continue to advance national priorities. As part of the new evaluation and accountability process, Sea Grant is also developing and implementing a National Information Management System (NIMS) that will provide a uniform, centralized reporting process to track Sea Grant performance over the four-year planning period.

Sea Grant’s new PIE system aligns the resources of the entire Sea Grant network to address national priorities and presents a way for Sea Grant and outside evaluators to measure the program’s success in achieving stated objectives. At the same time, the process respects the federal/university partnership structure of Sea Grant. It allows individual Sea Grant programs the flexibility needed to develop state plans that pursue national goals and objectives in ways that also address urgent state and local concerns.

## Ongoing commitment to regional leadership

Part of Sea Grant’s focus on national priorities is its ongoing leadership role in regional approaches to planning and problem solving. In recent years, coastal scientists and resource managers have realized that many of the critical issues facing the coastal zone such as fisheries management, nutrient enrichment and invasive species cannot be addressed solely at the local or state levels or through a single national approach. This has led NOAA and others to emphasize that these issues require regional approaches that encompass ecosystems, watersheds and coastal socio-economic factors. Sea Grant has been a leader in bringing stakeholders, managers and scientists together to address regional issues. State Sea Grant staff members typically work collaboratively beyond state boundaries in support of regional and national goals.

In 2006, in response to recommendations by the U.S. Commission on Ocean Policy and the Pew Oceans Commission, a competitive National Sea Grant Strategic Initiative was developed. The initiative supported the creation of regional science priority plans to highlight the science gaps considered most critical to the successful implementation of regional ecosystem-based approaches to coastal marine spatial planning and management. These plans, created by regional Sea Grant teams in partnership with other NOAA coastal programs, EPA, U.S. Fish and Wildlife and numerous other public and private stakeholders at the regional, state and local levels, have provided a framework for science and policy initiatives on the West Coast, in the Gulf of Mexico, in the Gulf of Maine and in NOAA regions throughout the United States.

Sea Grant regional planning efforts have been integrated with NOAA regional teams as well as several regional governor’s associations such as



↑ Fisher Patrick Riley discusses fuel savings and additional savings associated with the switch to new shrimp fishery gear and netting developed by Texas Sea Grant and partners. His fleet is seeing between 25 and 28 percent fuel savings.



↑ The map shows NOAA regions along with highlights denoting Sea Grant regions.

“Sea Grant continues to be a catalyst for answering practical research questions in a rigorous way, providing us with a platform for co-management of Maine’s fisheries.”

Robin Alden, Penobscot East Resource Center

the Northeast Regional Ocean Council organized by northeast governors from New York to Maine. The Western Governors Association for the states of California, Oregon and Washington has asked Sea Grant to serve as the lead coordinating body for regional coastal science priorities. Rhode Island Sea Grant has been the leader in the development of the Rhode Island special area management plan, one of the leading efforts for state-based, and now regionally-focused, coastal marine spatial planning efforts.

A key player in developing regional approaches to climate adaptation and mitigation, Sea Grant is representing NOAA in a partnership with the state Land Grant institutions and other federal agencies to develop and implement strategies designed to minimize the economic and environmental impacts associated with changing climate in the coastal zone.

## New roles for the National Sea Grant Advisory Board

The 2008 Sea Grant reauthorization called for the National Sea Grant Advisory Board to provide strategic advice and direction to Sea Grant. The Advisory Board has responded in a number of ways.

The Advisory Board appointed a committee to revisit Sea Grant funding allocation policies and is continuing a long-standing tradition of conducting in-depth reviews of the Program. In 2009, the Advisory Board issued three reports on topics it deemed important to the future of Sea Grant:

- [Sea Grant Research: A Report of the National Sea Grant Advisory Board](#)
- [Communications/Engagement: A Report from NOAA's National Sea Grant Advisory Board](#)
- [National Sea Grant Advisory Board Futures Committee Report](#)

[Sea Grant Research: A Report of the National Sea Grant Advisory Board](#) resulted from a year-long examination of Sea Grant’s operation and funding, as well as a review of the status of Sea Grant research. As part of this effort, extensive interviews were conducted within and outside of NOAA to measure how Sea Grant is perceived. The information gathered by the research report committee was used to develop a range of options for Sea Grant to consider with regard to future organization, operation, research and collaboration. [Communications/Engagement: A Report from NOAA's National Sea Grant Advisory Board](#) identified actions needed to allow Sea Grant to build on its leadership role in engaging stakeholders in coastal communities. The [National Sea Grant Advisory Board Futures Committee Report](#) recommended some near-term strategic directions for the program.

These reports have informed the Advisory Board’s assessment of the current state of Sea Grant and the recommendations in this report. Links to the full reports may be found in Appendix 2. This process of self-examination will continue. A Futures II committee has been established and charged with assessing the role and capacity of Sea Grant to address such emerging issues as climate change, green energy sources and economic stress in coastal regions, as well as the implications of changes taking place within NOAA.



▲ The National Sea Grant Advisory Board, 2010.



# CONSTRAINTS ON REALIZING SEA GRANT'S POTENTIAL

## SEA GRANT KNAUSS FELLOWSHIP: BUILDING A POWERFUL WORKFORCE

The National Sea Grant College Program supports the Dean John A. Knauss Marine Policy Fellowship. The fellowship brings to Washington highly qualified graduate students with an interest in national policy

decisions affecting natural resources. This prestigious program places 40-48 highly qualified Master and Ph.D.-level students within the Executive and Legislative branches of government for a one year fellowship in marine policy. This program has over 800 alumni who currently hold positions within the federal and state government, as well at universities, non-governmental organizations and private businesses. During 2007-2010, the National Sea Grant Program trained 184 new Sea Grant Knauss fellows who have joined an extensive fellowship alumni network.



Sea Grant fellow, Long Zhou (Rhode Island Sea Grant) meets Dr. Jane Lubchenco, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator.

*While Sea Grant has many accomplishments to be proud of and a demonstrated ability to respond to emerging needs and demands, a number of factors are limiting full utilization of Sea Grant capabilities.*

The health and productivity of America's oceans, coasts and Great Lakes are central to the health and vitality of the nation. NOAA's mission, "To understand and predict changes in Earth's environment and conserve and manage coastal and marine resources to meet our Nation's economic, social, and environmental needs," is more vital than ever. Sea Grant, with its integrated research, outreach and education capabilities and its on-the-ground presence in coastal communities, is positioned to play a major role in fulfilling NOAA's mission, but a number of factors have inhibited the program from realizing its potential.

### Unrealized opportunities in the Sea Grant-NOAA relationship

The 2008 Congressional declaration of policy regarding Sea Grant states:

*"The vitality of the Nation and the quality of life of its citizens depend increasingly on the understanding, assessment, development, management, utilization, and conservation of ocean, coastal, and Great Lakes resources . . . (which) requires a broad commitment and intense involvement on the part of the Federal Government in continuing partnership with State and local governments, private*

*industry, universities, organizations and individuals concerned with or affected by ocean, coastal, and Great Lakes resources. The National Oceanic and Atmospheric Administration, through the National Sea Grant College Program, offers the most suitable locus and means for such commitment and engagement."* (PL 110-394, Congressional declaration of policy)

Sea Grant is a federal-state-university partnership, built from a bottom-up relationship between state and local capacity and national leadership. This is an excellent way to address the nation's complex array of ocean and coastal resource management and protection challenges, which are at varying times international, national, regional and local in nature. During its earliest years, NOAA was regarded as a science agency. Local capacity and service to the public were not highlighted. This left Sea Grant's outreach and education functions somewhat disconnected from NOAA's central focus and resulted in Sea Grant not being fully embraced by NOAA leadership.

Conditions today are different, not only opening doors to new possibilities, but calling strongly for a direct connection between federal agencies and the people those agencies serve, something Sea Grant's extensive experience with stakeholder engagement can provide. Sea

Grant's emphasis on national priorities, directly linked to NOAA's goals, and its extension agents located in all coastal states, help to strengthen the connection between the federal agency and local users of the Agency's services. As the outreach/engagement functions of NOAA increase, as articulated in *Engaging NOAA's Constituents: A Report from the NOAA Science Advisory Board* (2008), the Sea Grant Program can play a significant role in carrying out these functions. Realizing Sea Grant's potential will require NOAA leadership at all levels to fully embrace the importance of engaging the public in carrying out its mission and to use existing capacity in Sea Grant to provide these critical stakeholder connections.

"As the outreach/engagement functions of NOAA increase, the Sea Grant Program can play a significant role in carrying out these functions."

### Ability to demonstrate national impact

Historically, some national leaders and decision-makers have viewed Sea Grant more as a collection of independent state programs than as a national program with state-local presence. Before its recent adoption of integrated strategic planning and program assessment, it was difficult for Sea Grant to demonstrate cumulative national benefits from the work of individual Sea Grant programs around the country. Planning was carried out at the state level and, while there were substantial accomplishments, there was a limited amount of data available on cumulative investments and impacts at the national level.

The adoption of national priorities for the entire Sea Grant program, the alignment of state plans with the national plan, and the incorporation of performance measures in both state and national plans are important steps forward in demonstrating national impact. However, the

ability to measure cumulative national impacts with regard to performance measures remains a work in progress. Progress in developing the National Information Management System (NIMS) has been slowed by a lack of resources available to support this necessary initiative at both the national and state levels and by the challenges of integrating information from 32 different programs into a single national system. Having a fully operational NIMS in place is critical to being able to measure Sea Grant's success in making meaningful contributions to national goals.

### Coastal program integration challenge

In the years since NOAA was created, its coastal programs have continued to evolve. In some instances, in order to meet particular needs, new programs were developed rather than assigning these tasks to existing programs. The result of these changes over time is that some of the distinctions between and relationships among programs have been blurred, leading to a greater likelihood of overlap in mission and perceived duplication of effort.

There is a strong mandate from the administration to integrate the nation's coastal programs. NOAA has embraced this goal and established working groups to identify ways to achieve greater integration among its coastal programs and with coastal programs of other agencies. NOAA's Coastal Services Center, the Office of Ocean and Coastal Resource Management, the National Centers for Coastal Ocean Science, the National Marine Fisheries Office of Habitat Protection and Sea Grant are working to integrate their efforts more effectively. The purpose of this collaborative planning

is to ensure that the individual NOAA coastal programs are focused on national priorities and that their work is synergistic, outcome-oriented and built around each program's strengths in ways that avoid duplication. The short-term goal is to collaborate on strategic planning, budgeting and implementation. The long-range goal is to develop a joint coastal strategic plan that articulates agreed-upon priorities, functional responsibilities, outcomes and metrics.

While Sea Grant and its partners have been working diligently on coordination and integration efforts, significant progress has yet to be achieved. Sea Grant and all of NOAA's coastal programs would benefit from clear guidance on how the Agency wants to move forward with more effective coastal program integration.

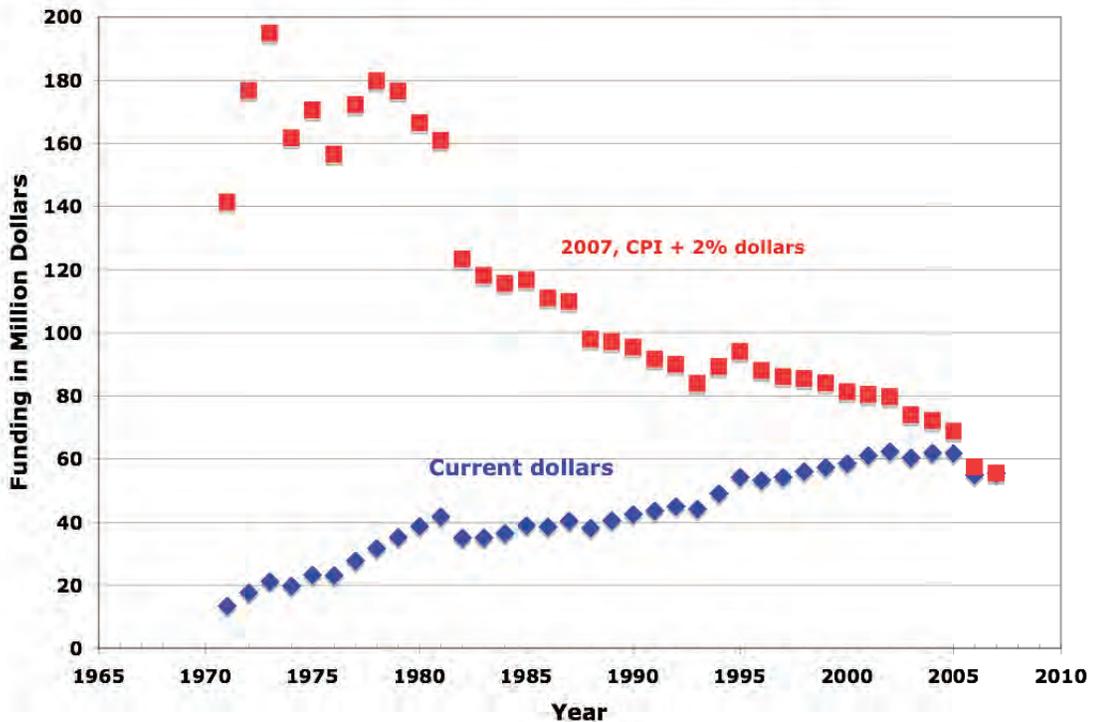
### Decline in Sea Grant buying power and loss of national capacity

The buying power of federal Sea Grant funding has decreased dramatically over the last two decades, leaving state Sea Grant programs with only about one-third the buying power they had in the early 1980s. While a review of annual appropriations over time shows a modest rise in federal allocations for Sea Grant, those same dollars, when adjusted for inflation, show a

“Most state Sea Grant programs are currently struggling to maintain the staff necessary to respond effectively to new national, regional and local priorities and requests.”

significant decline in federal support and buying power. This loss of buying power, described in greater detail in *Sea Grant Research: A Report of the Sea Grant Advisory Board*, 2009, is illustrated in the chart below.

**Overall Sea Grant Funding**



This decline places significant constraints on Sea Grant's ability to respond with sound science and on-the-ground presence to growing coastal challenges. The decline has continued during a period when Sea Grant has been working to strengthen its national focus, dedicating significant energy at both the national and state levels to accomplish this. Loss of federal funding on an inflation-adjusted basis has significantly decreased the ability of state programs to work with stakeholders to address the nation's coastal, ocean and Great Lakes priorities through their research, extension and education programs. Most state Sea Grant programs are currently struggling to maintain the staff necessary to respond effectively to new national, regional and local priorities and requests.

“At the current level of staffing, the National Sea Grant Office lacks the capacity to carry out all of its leadership functions for the Sea Grant network.”

According to the NSGAB's *Communications/Engagement* report of 2009, this decline in Sea Grant buying power has had major effects on the capacity of the National Office as well. With a cap of 5% on what may be spent on administrative costs at the national level, the National Office has seen its staffing decline significantly over time. Presently, the National Office has roughly half the staff it had in 1991: 29 full-time equivalent staff positions in 1991 versus 16 today. There has been a 36% loss in capacity just since 2005.

### National Sea Grant Office Workforce

Year	Full Time Staff (FTEs)
1991	29
2005	22
2010	16

The Sea Grant Advisory Board reviewed the role of the National Sea Grant Office in 2002 in *Building Sea Grant: The Role of the National Sea Grant Office* and concluded that staff erosion in the National Office had seriously diminished the

ability of the National Office to provide the leadership necessary to support the Sea Grant network and respond to increasing demands at the federal level. This was revisited by the Administrative Review Committee of the then Sea Grant Review Panel in 2008 in a report entitled *Staffing the National Sea Grant*

*Office*. That report recommended an increase of staffing to 29.5 FTEs to allow the NSGO to fulfill its core responsibilities. The erosion of national capacity discussed in these reports has continued, as demonstrated below. The new planning, implementation and evaluation process, designed to emphasize national priorities, has created significant new demands on the National Office and state program staffs. The design and implementation of network-wide planning efforts, liaison work, site visits to state programs, and the collection and management of network-wide performance data have all added to the work loads of already burdened staff.

At the current level of staffing, the National Sea Grant Office lacks the capacity to carry out all of its leadership functions for the Sea Grant network. It is becoming increasingly difficult for the National Office to employ the number and kinds of personnel needed to participate effectively at the federal level and to respond to a growing number of information requests and calls for assistance. The National Office is working actively with NOAA on its new climate initiatives and coastal program integration efforts, but they are participating in these and other high-level NOAA activities with about one-quarter the number of FTEs per dollar of grants managed as other similar NOAA programs.



# OUTLOOK AND RECOMMENDATIONS

*Sea Grant is in a strong position to harness its full range of resources to advance national priorities and respond to national crises while continuing to be responsive to state and local needs, if NOAA and Congress choose to capture this opportunity.*



There is reason for optimism about the role Sea Grant can play helping NOAA carry out its mission in the decade ahead, tempered by a realistic outlook on the external and internal factors that will affect this. The recommendations in this report suggest what must be done to ensure that Sea Grant will fulfill the promise it carried when it was established: to help the country respond in an integrated way with the sound science and collaborative decision-making processes needed to protect and use the nation's ocean, coastal and Great Lakes resources for the benefit of present and future generations.

## Outlook

In 2000, the Sea Grant Review Panel (now the Advisory Board) issued a report entitled *A Mandate to Engage Coastal Users*. It opened with the following prospect for what the nation would face in the coming years:

*"In 1999, world population reached 6 billion people. It has doubled in less than 40 years, is continuing to increase rapidly, and is projected to reach 8 to 10 billion people in the next 50 years. The accompanying pressure on world resources will be extreme, but none more so than on coastal resources. Today, over half the population of the United States lives in coastal counties; it is estimated that by 2025 roughly three-fourths of all Americans will live in coastal areas. As the demand for seafood increases, fisheries*

*are being depleted or eliminated. When world production of oil peaks in the first decade of the 21st century, there will be increased pressure to drill in offshore and coastal areas. The conflict in use of the coastal areas between recreational and industrial users can only increase. The world economy is expanding, and by 2020 goods traded worldwide are expected to triple. With the U.S. as a major consumer of goods, the pressure on American ports will be immense. And then there are the threats from coastal hazards, the rise in sea level associated with global climate change, inadequate water supplies and water treatment—the list goes on. The economic, environmental, and social demands on our coastal oceans and shorelines will be unparalleled in human history, and these demands will be similar throughout the world. The need for solutions to coastal problems, resolution of conflicts and help in general will continue to grow as the threats to coastal areas increase. It will be imperative that all governments—local, state, and federal—engage their citizens and attend to their needs."*

While some of the specific numbers would change, this assessment of the situation we face holds as true today as when this was written ten years ago. The outlook for Sea Grant and other NOAA ocean and coastal agencies is one of increased complexity and pressure. Population

**“ Just the other day I had an email from a company in Germany that wants to import our whitefish. This is a 19th century industry that is now competing in the 21st century. That never would have happened before this initiative was launched by Michigan Sea Grant.”**

**Jill Bentgen,**  
Founder of Mackinac Straits  
Fish Company

growth and the demands this is placing on the coastal zone, climate change impacts, increased demands and conflicts related to the use of limited natural resources, over-use of ocean fisheries, and pollution of the environment all point to unprecedented challenges for Sea Grant in the years ahead.

The nation, NOAA and Sea Grant must respond to this increasingly complex array of coastal issues during a period of major resource constraints. The current administration has indicated that it will ask for a reduction of 5% in many agency budgets. State and higher education budgets are stretched tighter than they have been in decades. It is essential for Sea Grant to concentrate its energies in areas of highest priority where opportunities for meaningful impacts are greatest. Plans must be generated on the assumption that resources will not increase significantly. At the same time, Sea Grant must make it clear that continued loss of buying power and the administrative cap of 5% will diminish Sea Grant's ability to serve NOAA and respond to the nation's needs.

## **A way forward for Sea Grant**

In moving forward, it is important to have a vision for what the National Sea Grant College Program can become. While it may not be possible to realize this vision in the near-term, it can inspire and guide actions of the program today and serve as a beacon for Sea Grant as the program continues to evolve.

*Looking to the future, Sea Grant will be an integral component of NOAA, contributing significantly to fulfilling NOAA's mission. Sea Grant will do this not by making radical changes in what it does and how it does it, but by building on its strengths and recent commitment to a stronger national focus.*

Sea Grant will be a strong, well-integrated national program. It will draw its expertise from its university bases throughout the United States and from NOAA, its federal parent agency. It will have a strong National Office that provides direct contact with other elements of NOAA, with other federal agencies, and with

the Congress of the United States, linking them to a robust Sea Grant network at the state level.

Sea Grant will concentrate its energies where it has the most to offer to advance national priorities. It will use its model of integrating research, outreach and education to translate sound scientific information into tools, products and services that benefit the country and its coastal communities. It will concentrate these efforts on identified national priorities such as climate adaptation and community coastal development and response to coastal hazards, where its ability to facilitate honest exchange of information, informed decision-making and rapid response are most valuable. It will continue to educate the next generation of informed citizens, environmental professionals and the ocean-coastal-Great Lakes related workforce.

Sea Grant will lead engagement with coastal stakeholders, including fishermen, coastal industries, local governments and citizens. As a main program in NOAA dedicated to transferring ocean and coastal knowledge to users, Sea Grant Extension will become a central part of NOAA's day-to-day work. Extension work will expand and its benefits will more closely mirror those envisioned in the founding legislation.

Sea Grant will respond immediately to problems and crises with broad-based expertise. Experts from the entire Sea Grant network will be mobilized to respond to needs wherever they occur. Sea Grant will be one all-encompassing program, addressing national needs without sacrificing state program responsiveness.

Sea Grant will grow in size and capacity to help address the increasing array of coastal, ocean and Great Lakes challenges facing the nation. Sea Grant will grow selectively, by building capacity in areas such as applied research, technology transfer, and stakeholder engagement where it already has a strategic advantage. Sea Grant will continue to build the specific expertise and array of skills needed to address emerging coastal issues to be of maximum benefit to the nation as a science-based first responder.

## THE NATIONAL SEA GRANT ADVISORY BOARD RECOMMENDATIONS

The National Sea Grant Advisory Board believes that realizing this vision and positioning Sea Grant to respond to the nation's coastal challenges and possibilities will require clear demonstration of Sea Grant's contributions to achieving national goals, a more effective integration and coordination of the nation's coastal agencies and programs, achieving maximum benefit from existing Sea Grant resources and the addition of strategically-directed new resources for Sea Grant.

### **1. The entire Sea Grant network must focus its efforts on advancing national priorities, while remaining sensitive to local needs.**

Sea Grant is a national program built on a foundation of strong federal-state-university partnerships. Partnerships remain strong when the needs of all parties continue to be met. The new Planning, Implementation and Evaluation system adopted in 2009 represents a conscious commitment on the part of the Sea Grant National Office and its state/university partners to undertake the significant coordination and accountability activities required to ensure that the program maintains a strong focus on national priorities, while also responding to the most urgent priorities found at the regional, state and local levels.

### **2. The ability to track and report the cumulative measurable impacts of Sea Grant activities on achieving national goals should be a high priority for Sea Grant.**

The Sea Grant network needs to work together to make the National Information Management System (NIMS) fully functional as quickly as possible. It is fundamental to the new planning and accountability process and to being able to communicate the national benefits of Sea Grant activities and programs in measurable ways.

### **3. NOAA coastal programs, including Sea Grant, should be more fully integrated in order to maximize NOAA's contributions to national goals.**

It is essential in this era of limited resources that NOAA build on the specific strengths of existing coastal programs, use them to meet emerging needs and provide clear direction on future roles and responsibilities. Sea Grant should continue joint planning with other coastal programs and communicate more effectively within NOAA and beyond about what it has to offer with regard to research, outreach and education to advance the over-all NOAA coastal, ocean and Great Lakes agenda.

### **4. Sea Grant should capitalize on its nationally recognized leadership in stakeholder engagement within coastal and Great Lakes communities as federal-state-local communication and collaboration become more critical to addressing needs and responding to crises.**

With its presence in all coastal counties and its strong outreach, education and communication staff, Sea Grant can play a significant role for NOAA as demand for these services increases. Sea Grant's ability to provide rapid response in recent crises such as Hurricane Katrina and the Deepwater Horizon oil spill demonstrate the value of its national network and local presence in engaging with stakeholders to respond to crises and pursue other shared goals.

### **5. Sea Grant should continue to re-examine its priorities and methods of operation in order to respond to the nation's most urgent needs.**

The National Sea Grant Office, state Sea Grant programs and the National Sea Grant Advisory Board should review the full range of Sea Grant activities and determine which could be reduced, redirected, expanded or terminated so new opportunities can receive investments. Sea Grant research programs should be targeted to address Sea Grant and national strategic priorities such as climate-related research, coastal and offshore energy development, sustainable fishing technologies and socio-economic issues related to sustainable growth in coastal environments.

### **6. Significant additional resources should be provided to the National Sea Grant College Program in order to reverse the erosion of buying power and maintain a dynamic program with rapid response capability.**

The 21st century has brought unparalleled challenges to coastal America. Twice in recent years, the nation has faced dramatic human and natural resource crises in the Gulf of Mexico. Both times, Sea Grant, with staff already in these coastal communities, was among the first to respond by communicating with and bringing together affected constituents. Sea Grant participated in or led scientific and technical reviews of the extent of damages and efforts to design effective responses to repair damaged communities, natural resources and economies. Even in a time of serious budget constraints, consideration should be given to providing Sea Grant with additional resources. Twenty years of level funding combined with significant inflation over that same time period have left state Sea Grant programs and the National Sea Grant Office with substantial reductions in buying power. This has had pronounced effects on the National Office's ability to provide leadership and coordination and the ability of state programs to leverage additional funds and carry out their responsibilities. Sea Grant urgently needs additional funding to continue its critical 21st century involvement in coastal crisis response and management and its leadership role in meeting the nation's growing coastal, ocean and Great Lakes challenges.

**The National Sea Grant Advisory Board welcomes this opportunity to provide Congress with a report on the State of Sea Grant and looks forward to working with Congress, NOAA and the entire Sea Grant team to maximize the benefits this program can provide to this nation and its coastal communities.**

# APPENDIX 1

## Sea Grant Programs

### GREAT LAKES REGION

Illinois-Indiana Sea Grant College Program  
 Lake Champlain Sea Grant Project  
 Michigan Sea Grant College Program  
 Minnesota Sea Grant College Program  
 New York Sea Grant Institute  
 Ohio Sea Grant College Program  
 Pennsylvania Sea Grant Institutional Program  
 Wisconsin Sea Grant Institute

### NORTHEAST REGION

Connecticut Sea Grant College Program  
 Lake Champlain Sea Grant Project  
 Maine Sea Grant College Program  
 Massachusetts Programs:  
 Massachusetts Institute of Technology  
 Sea Grant College Program  
 Woods Hole Oceanographic Institution  
 Sea Grant Institutional Program  
 New Hampshire Sea Grant College Program  
 New York Sea Grant Institute  
 Rhode Island Sea Grant College Program

### MID-ATLANTIC REGION

Delaware Sea Grant College Program  
 Maryland Sea Grant College Program  
 New Jersey Sea Grant Consortium  
 Virginia Sea Grant Institutional Program

### SOUTHEAST, GULF OF MEXICO AND CARIBBEAN REGIONS

#### Southeast

Florida Sea Grant College Program  
 Georgia Sea Grant College Program  
 North Carolina Sea Grant College Program  
 Puerto Rico Sea Grant College Program  
 South Carolina Sea Grant Consortium

#### Gulf of Mexico

Louisiana Sea Grant College Program  
 Mississippi-Alabama Sea Grant Consortium  
 Texas Sea Grant College Program

### PACIFIC REGION

Alaska Sea Grant College Program  
 California Programs:  
 California Sea Grant College Program  
 Southern California Sea Grant  
 Institutional Program  
 Hawaii Sea Grant College Program  
 Oregon Sea Grant College Program  
 Washington Sea Grant College Program  
 Guam Sea Grant Project

# APPENDIX 2

## The following reports are referenced in this document.

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[http://www.pewtrusts.org/uploadedFiles/wwwpewtrustsorg/Reports/Protecting\\_ocean\\_life/env\\_pew\\_oceans\\_final\\_report.pdf](http://www.pewtrusts.org/uploadedFiles/wwwpewtrustsorg/Reports/Protecting_ocean_life/env_pew_oceans_final_report.pdf)

***An Enhanced and Integrated Strategic Planning and Program Assessment Strategy for the National Sea Grant College Program***, Sea Grant Response Integration Team, 2007

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[http://www.sab.noaa.gov/Reports/EOEWG/EOEWG\\_Final\\_Report\\_03\\_20\\_08.pdf](http://www.sab.noaa.gov/Reports/EOEWG/EOEWG_Final_Report_03_20_08.pdf)

***Evaluation of the Sea Grant Review Process***, National Research Council, National Academy of Sciences, 2006

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***National Sea Grant Advisory Board Futures Report***, Sea Grant Advisory Board, 2009

[http://www.seagrants.noaa.gov/leadership/advisoryboard/Reports/Final%20Report%20Futures%20Committee\\_2009.pdf](http://www.seagrants.noaa.gov/leadership/advisoryboard/Reports/Final%20Report%20Futures%20Committee_2009.pdf)

***NOAA FY 2011 Budget Summary***,

[http://www.corporateservices.noaa.gov/~nbo/11bluebook\\_highlights.html](http://www.corporateservices.noaa.gov/~nbo/11bluebook_highlights.html)

***NOAA FY 2010 Budget Summary***,

[http://www.corporateservices.noaa.gov/~nbo/10bluebook\\_highlights.html](http://www.corporateservices.noaa.gov/~nbo/10bluebook_highlights.html)

# APPENDIX 2

***NOAA Sea Grant Strategic Plan 2009-2013: Meeting the Challenge***, National Sea Grant College Program, 2009

[http://www.seagrants.noaa.gov/other/admininfo/documents/0209\\_stratplan.pdf](http://www.seagrants.noaa.gov/other/admininfo/documents/0209_stratplan.pdf)

***Ocean Blueprint for the 21st Century***, U.S. Commission on Ocean Policy, 2004

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***Sea Grant Implementation Plan 2009-2013***, 2009, National Sea Grant Office

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***Sea Grant's Role in Understanding and Preparing for Climate Change Along America's Coast***, Sea Grant Association, 2009, updated 2010

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***Staffing the National Sea Grant Office, Sea Grant Review Panel Administrative Committee, 2008***

[http://www.seagrants.noaa.gov/leadership/advisoryboard/ARC\\_Report\\_50208.pdf](http://www.seagrants.noaa.gov/leadership/advisoryboard/ARC_Report_50208.pdf)

# APPENDIX 3

## **Sea Grant Program Impacts**

<http://www.seagrant.noaa.gov/newsevents/impacts2010.html>



# The State of Sea Grant 2010: Impacts, Challenges and Opportunities

Biennial Report to Congress by the National Sea Grant Advisory Board, November 2010



Performance Review Panel (PRP):

PRP Letter to Directors and Advisory Board

2012 PRP Guidance

Frequently Asked Questions

Guidance for PRP Panelists



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January 19, 2012

To: Sea Grant Directors and National Sea Grant Advisory Board Members  
From: Leon Cammen   
Subject: 2012 Performance Review Panel

Thank you for taking the time to provide your concerns and advice regarding the 2012 Performance Review Panel (PRP). Your input is always welcome, and we appreciate the feedback and support you have provided in the development of the PIE process. We all recognize the importance of a strong partnership between the SGA, the Advisory Board, and the NSGO as we work toward the most effective and efficient National Sea Grant College Program possible. And we all recognize the need for a rigorous and credible evaluation process, particularly in this difficult budget climate.

The revised PRP guidance and timeline that accompanies this message reflect adjustments made in response to the discussions at this Fall's SGA and Advisory Board meetings, to the concerns and suggestions offered by the Focus Teams during their annual reviews in November, and to the recommendations in the SGA letter of October 18 (attached). Those discussions and the SGA letter highlighted general concerns with the quality of the material to be reviewed, the timing of the review, and the ability of our staff and information management system to support a successful review at this time. In addition, there were questions regarding the rating process and whether it was appropriate to place Programs in competition with each other. We share your concern with these questions and have taken a hard look at the draft process and timing with an eye toward ensuring that this review is credible, efficient, and transparent.

### **Reports and Summary Material**

Many of the concerns with the PRP revolve around the process itself and our ability to support such a comprehensive review. The PIER information management system has improved by leaps and bounds since the October SGA meeting and we are confident that the system will be able to provide the material needed to support the PRP in a timely and professional manner. However, two problems have emerged with the information that has been entered into PIER that will need to be addressed before the review proceeds.

The first problem is that there may be too much information for the Panel to be able to review in a thoughtful and thorough manner. Since 2008 when we began asking you to provide information to NIMS and then later to PIER, you have made available a truly impressive set of impacts and accomplishments; in fact, for some Programs, the draft PRP reports run well over 200 pages without even including anything from 2011. However, reviewing that amount of information for over 30 Programs would provide a significant challenge to the PRP.

The second problem, noted during the Focus Team reviews, concerns the lack of consistent quality across the Network in the impacts that have been entered. Writing concise but revealing impacts is not an easy task and the difficulty has been compounded by having to deal with a new and evolving data management system at the same time. As a result, many of the 2008 and 2009 impacts and accomplishments, and some of those from 2010, are not ready for presentation to an external review team. In addition, some of the information that should have been included for 2010 is missing or incomplete from some of the reports.

To address these problems, the following actions will be taken:

- 1) Impacts and accomplishments entered for 2008 and 2009 prior to the start of the new four-year plan will not be included in the PRP reports. Instead, the supplementary Program Summary Report document will be expanded from 10 pages to 20 pages and that will be the primary mode of communicating your Programs' overall impact for 2008 and 2009. These changes will have the desired effect of significantly reducing the amount of information the PRP will need to review and the ancillary benefit of eliminating the need for the (in many cases) extensive editing of older impacts that would have taken a great deal of time and been solely for the PRP review.
- 2) Impacts and accomplishments entered for 2010 will be available for editing and you will be able to designate any that you do not want forwarded to the PRP. The 2011 impacts that will be entered later this spring should not need editing. Since the 2010/2011 impacts will be available for the PRP, it may not be necessary to discuss them as extensively in the Program Impact Summary as for the 2008/2009 impacts, but that is, of course, up to you.
- 3) To aid in preparing the Program Summary Report, we have included guidance in Appendix C that is intended to ensure a level playing field among the Programs and to help the PRP focus in on the content rather than the presentation.

Draft PIER reports have been available since shortly after last Fall's SGA meeting, and hopefully your concerns about the system have been alleviated. We are continuing to make improvements to the reports, so if there are still issues with PIER or the PRP report, please let us know.

### **Ratings and Competition**

We followed up the PRP discussion at last year's Sea Grant Week by asking for your opinion as to how much weight should be given to evaluating "progress toward your plan" relative to that for "overall impact," and there was a clear sense that for this first PRP, overall impact should receive more emphasis than proposed. The initial suggestion had been 80% progress / 20% impact, but based on your response, the weighting was changed to 50% progress / 50% impact. That weighting still seems reasonable. In addition, there was consensus that at least four years of performance should be included in the "overall impact" assessment so the rating will be based on the 2008 to 2011 reporting period.

Some concern was expressed that the PRP process places Programs in direct competition with one another, violating one of the concepts of the PIE system. While we all understand that we need to have a rigorous evaluation system and that there are sponsors who take that to mean "competitive," the primary goal of this process is to provide formative evaluation that will continually improve individual Programs and the National Sea Grant College Program as a whole. The PRP guidance has been changed to better reflect the concept that all Programs could potentially receive outstanding ratings and that it is not necessary for one Program to do worse in order for another to do better.

### **PRP Membership**

The suggestion was made that for this first PRP, the National Sea Grant Office (NSGO) staff could carry out the review rather than an external panel of experts. While we appreciate the confidence that shows in our staff, we feel it is important that the PRP be conducted through an external panel of experts for several reasons. First, it is worth remembering that an NSGO review was integral to the PAT process, but the National Research Council (2006), in consultation with the SGA, recommended that the NSGO be removed from the Program rating process. Second, at this point, the NSGO does not have the breadth or

depth of expertise to carry out a thorough subject-specific review of the Sea Grant Programs. And as you noted, resources (particularly staff time) are in short supply; it is much more efficient to facilitate the PRP than to carry out the entire review. Third, external reviews are required for all grants, and they carry significantly more credibility than an internal performance review. Therefore, NSGO staff plan to facilitate the PRP and act as neutral providers of information to the Panel. We appreciate your recommendations of PRP members, and encourage you to expand the list beyond former NSGAB or SGA members.

### **Timing**

The question has been raised of whether we need to have a PRP this year. Why not just wait until late in 2015 when we will have completed the initial four-year cycle? The most recent comprehensive review of the Sea Grant Program was the series of Program Assessment Team site visits held from 2003 to 2006. Waiting until 2015 for the first PRP would mean that many Programs would not have had a rigorous, comprehensive evaluation for over a decade! To put that in perspective, over the 12-year period from 2003 to 2015, the Sea Grant Program will have spent over \$700M in appropriated funds with another \$350M or so in matching funds; counting the leveraged funds that you are making use of, the total probably exceeds \$1.5 billion. Given the magnitude of the funds we are being entrusted with, taking a few weeks to evaluate our performance every four years would seem to be a reasonable course of action, especially when we are trying to make a credible argument that we're not a block grant program.

In addition, we are still in the transition phase of the PIE system, and program evaluation with the PRP is a core aspect of the new system. As many of you point out, we need to try it out, take advantage of the strengths that the PRP approach offers, and identify any shortcomings so they can be addressed prior to the next time, in 2015.

Why is the PRP taking place only two years into the new four-year cycle? Ideally, the performance evaluation should occur soon after the completion of your four-year plans. However, given the lag between actually doing the work and seeing the impact, and the frequent no-cost extensions needed to complete projects that fall behind schedule, it made sense to have the PRP two years after the scheduled completion of the award. Currently, though, we are in a transition period, only halfway through the first four-year cycle, and for most issues it is too soon to know what the final impact of your Program's actions will be. But the PRP should be able to determine whether or not your Program is making adequate progress toward achieving the goals laid out in your four-year plan.

Finally, in order to give you time to accommodate the adjustments to the PRP process that have been outlined here (expanded Program Impact Summary, editing of FY2010 impacts and accomplishments, supplying missing or incomplete information), in addition to submitting a strong 2011 Annual Report, the 2012 PRP will be moved from June to October 2012. The additional time will give us time to resolve these issues to facilitate a review process that will reflect favorably on the Sea Grant Program.

### **Conclusion**

The PRP review is a major step for the Sea Grant Program. It will be the first time that all Programs have been evaluated at the same time by the same group of individuals. As recognized and supported by the SGA and NSGAB, the 2012 and subsequent PRP ratings will affect merit funding and that is as it should be, so it is important that we do this right. To help ensure that we are adequately and appropriately evaluating Programs, we will ask the PRP to assess the entire process once the final reports are released.

We appreciate your thoughts and as always invite your comments and suggestions.

## 2012 Performance Review Panel Structure, Process and Timeline

A key evaluation component of the Planning, Implementation and Evaluation (PIE) process is the Performance Review Panel (PRP). Once every four years, the PRP will carry out a retrospective evaluation of each Program's implementation of its strategic plan and the Program's overall impact on society. The first PRP will convene in October 2012 to assess each Program's progress towards its 2010-2013 strategic plan and the Program's 2008-2011 overall Program impact. Subsequent PRPs will take place two years after the completion of the Program's strategic plan and will provide an assessment of the Program's success in achieving its previous four-year plan.

The remainder of this document describes the constitution of the PRP, the materials to be used for the review and how the evaluation will occur. Appendix A contains a timeline for the 2012 PRP schedule.

### **I. Performance Review Panel (PRP) Composition**

The PRP will be appointed by the National Sea Grant College Program (NSGCP) Director. Members of the Sea Grant network are encouraged to provide nominations. The PRP will be comprised of approximately 30 individuals including members drawn from the National Sea Grant Advisory Board, academia, government, industry, and practitioners with expertise in appropriate fields.

### **II. PRP Materials**

#### **Reports from Planning, Implementation, and Evaluation Resources (PIER)**

In preparing for the PRP, Program focus area reports will be produced covering the period February, 2010 through January, 2012 using PIER (see an example of the focus area report in Appendix B). To assess a Program's progress towards its 2010-2013 Program strategic plan, the PRP will review impact and accomplishment statements that are linked to Program goals, and the Program's progress towards its performance measures and objectives. (This information comes from the Program's 2010 and 2011 annual reports.) To assess the Program's overall impact, the PRP will review the brief Program summary report, in addition to the other material.

#### **2010 Annual Reports**

Programs have already submitted 2010 annual reports (October, 2011). Subsequently, many Programs have requested that they be able to edit the impacts and accomplishments that were included as part of that report since the information was incomplete. The system will be opened for editing 2010 impact or accomplishment statements, and Programs will also have the ability to identify and flag any impacts or accomplishments that they do not want included in the report that is forwarded to the PRP. Directions on how to edit an impact or accomplishment statement can be found on the homepage of PIER (<https://pier.seagrant.noaa.gov>).

#### **PRP Program Summary Report**

Each Sea Grant Program will produce a Program summary report that is intended to capture major accomplishments and impact stories that occurred between 2008 and 2011 for each of their focus areas. To limit the burden on Programs and the PRP, the summary reports will be limited to a total of 20 pages for all focus areas combined (further guidance can be found in Appendix C).

### **III. Performance Review Panel (PRP) Structure and Role**

To facilitate the review, PRP members will be divided into four working groups according to their expertise. Each of those working groups will be responsible for reviewing the one of the national focus areas. Programs had the opportunity to include Program-specific focus areas in their strategic plans in addition to the national focus areas. Most of the Program-specific focus areas outside of the national focus areas were marine/coastal literacy. To be as consistent as possible with the concept of expert review, a fifth working group will be formed to review just the Program-specific marine/coastal literacy focus areas included in the Program strategic plans. The remaining few Program-specific focus areas will be assigned, in consultation with the Program, to the most appropriate national focus area working group for review.

The review timeline will be as follows:

Week 1 (October 15-19, 2012): Safe and Sustainable Seafood Supply (SSSS), Sustainable Coastal Development (SCD), and “Marine/Coastal Literacy” PRP working groups held

Week 2 (October 22-26): Finalize PRP reports from Week 1

Week 3 (October 29 – November 2): Hazard Resiliency in Coastal Communities (HRCC), and Healthy Coastal Ecosystems (HCE) PRP working groups held

Week 4 (November 5-9): Finalize PRP reports from Week 3

Each panelist will be assigned as either the primary or secondary reviewer for a subset of Programs, and will be responsible for filling out the evaluation form (see Appendix D) prior to the PRP review. All other members on the PRP focus team working group will serve as tertiary reviewers. The primary reviewer will be responsible for leading the discussion on each Program with substantive input from the secondary panelist, and will be responsible for the final summary report back to the Program. Each Program will be discussed in depth and all PRP members will be expected to provide a rating. The first four days are to discuss each Program individually, with the fifth day used to calibrate scoring and begin drafting the PRP reports. Each working group will have a facilitator.

If a PRP member has a conflict of interest with a particular Program, he or she will not take part in the discussion nor provide a rating for that Program. All reviewers will need to sign a conflict of interest form (CD-571).

#### **IV. PRP Ratings**

Ratings for the 2012 PRP will be determined in part based on the Programs’ progress towards meeting their own plans and in part by the overall impact of the Program during the 2008-2011 time period. Each of the two aspects of performance will be weighted equally.

##### Progress toward Plan

The PRP working groups will first assign a rating based on the Program’s progress towards its plan in the designated focus area. This rating is achieved by averaging the final scores of all PRP working group members based on the evaluation criteria (see Appendix D for the evaluation form). This rating will account for 50 percent of the Program’s score for a particular focus area. The rating scale for progress towards Program plan is as follows:

- a. *Highest Performance (4) – exceeds expectations by an exceptional margin in most areas/aspects*
- b. *Exceeds Expectations (3) – by a substantial margin in some areas/aspects*
- c. *Successful (2)*
- d. *Below Expectations (1)*
- e. *Unsuccessful (0)*

##### Overall Impact

After each of the five PRP working groups has finished the evaluation of Program performance relative to the Program plans, the working groups will then be asked to make an additional assessment of each Program’s overall impact within the focus area between 2008-2011 by considering the Program Summary Report along with the information already reviewed. This rating is achieved by averaging the final scores of all PRP working group members and will account for 50 percent of the Program’s score for a particular focus area. The rating scale for overall impact is as follows:

- a. *Highest Performance (4) –had particularly outstanding scientific or societal contributions on the local, regional or national level relative to their level of federal investment*
- b. *Successful (2) – had an acceptable, but not unusual, level of performance relative to the level of federal investment*
- c. *Below Expectations (0) –had a level of performance substantially less than what would be expected relative to the level of federal investment*

##### PRP Reporting

Once discussions are completed, the primary PRP reviewer for each Program will prepare a report that includes an explanation for the rating, the Program’s strengths and weaknesses, recommendations for improvement, and any best practices that should be noted.

## V. After the PRP

Upon completion of the review process, all PRP reports and evaluation forms will be sent from the National Sea Grant Director to the Sea Grant Program Director. The Sea Grant Program Director will have an opportunity to submit a memorandum to the National Sea Grant Office responding to the findings in the PRP reports.

### National Sea Grant Office Annual Review

The first NSGO annual review that follows the PRP evaluation will be expanded to include a performance assessment based upon the PRP working group ratings and the Program's response to those reviews. This review finalizes Program ratings and will be used to allocate merit funds.

### Overall Program Ratings and Allocation of Merit Funds

The PRP working group ratings for each focus area will be averaged and used to generate a weighted PRP rating for each Program. The weights are determined by the proportion of funding resources allocated by the Program to each of the National focus areas (Programs enter this "estimated level of effort" information annually into PIER). "Funding resources" includes all NOAA federal, matching and leveraged funds that are managed by the Sea Grant Program and used to meet the outcomes and objectives of the four-year plan. For example, if a Program allocated 10% of its resources to the Sustainable Coastal Development (SCD) focus area and was rated Highest Performance (4) for its progress toward meeting its plan and Successful (2) for its overall impact (average of 3), and 90% of its resources to Healthy Coastal Ecosystems (HCE) with a rating of Exceeds Expectations (3) for its progress toward meeting its plan and Successful (2) for its overall impact (average of 2.5), it would receive an overall weighted rating of 2.55, calculated as follows:

$$\begin{array}{rcc} \text{SCD} & \text{HCE} & \text{Overall} \\ (10\% * 3) + (90\% * 2.5) & = & (0.3) + (2.25) = 2.55 \end{array}$$

Merit funding will be allocated based on the overall Program rating from the PRP review starting with the 2014 award. Rather than grouping Programs into a small number of rating categories and allocating the same merit funding to each Program within the category (as was done with the previous Program Assessment system), the allocation for each individual Program will be proportional to its overall rating.

Note: Any Program that is rated as "Unsuccessful" based on the Site Visit will not be eligible for merit funding.

## **Appendix A: 2012 PRP Timeline**

April 3, 2012:	2010 Annual Report corrections due into PIER
June 1, 2012:	2011 Annual Report due into PIER
August 17, 2012:	Program Summary Reports due into PIER
August 24, 2012:	Program Summary Reports sent to PRP members
October 2012:	PRP held <ul style="list-style-type: none"> <li>• Week 1 (October 15-19, 2012): Safe and Sustainable Seafood Supply (SSSS), Sustainable Coastal Development (SCD), and “Marine/Coastal Literacy” PRP working groups held</li> <li>• Week 2 (October 22-26): Finalize PRP reports from Week 1</li> <li>• Week 3 (October 29 – November 2<sup>nd</sup>): Hazard Resiliency in Coastal Communities (HRCC), and Healthy Coastal Ecosystems (HCE) PRP working groups held</li> <li>• Week 4 (November 5-9): Finalize PRP reports from Week 3</li> </ul>
December 10, 2012:	PRP reports sent to the Programs
January 25, 2013:	Optional Program Response Memos regarding the PRP review reports due into the NSGO
Jan. 28-Feb. 8, 2013:	NSGO Review (a review of the PRP reports and the Program responses)
April 1, 2013:	Final NSGO reports with ratings sent to Programs (allowing Programs to factor in budget implications prior to the selection of their proposals for the 2014-15 cycle)

## Appendix B: PRP Report Outline

(A report is needed for each PRP working group: HCE, SSSS, SCD, HRCC, and “Marine/Coastal Literacy”. Below is an outline of the report that will be produced out of the PIER database system, using the Healthy Coastal Ecosystem (HCE) as an example. This report outline will be replicated for each focus area.)

### Focus Area - HCE

*HCE section of the Program plan*

#### **I. Program’s Progress towards Plan (2010 – 2011)**

(List of Program goals followed by the impact and accomplishment titles that are aligned to that goal)

For example,

**PROGRAM GOAL: Methodologies are developed and used to evaluate ecosystem-based management approaches and guide future management efforts.**

#### **Impacts**

**TITLE:** Sea Grant Contributes to Development of Standardized Multi-State Spawning Census for Horseshoe Crabs

Relevance, Response and Results:

Recap:

#### **Accomplishments**

**Title:**

Relevance, Response and Results:

Recap:

(All impact titles that connect to HCE “Goal 1” will continue to be listed here, then the system would pull the next goal and the list of impact titles that are connected to HCE “Goal 2”).

#### **HCE Program Performance Measures (2010 – 2011)**

Program Performance Measures	Program Plan Target (2010-2013)	Actual (2010 & 2011)	Anticipated (2012)	Program Comments

#### **HCE Program Objectives (2010 – 2011)**

Program Objective	On Target/Not on Target	Achieved (yes/no)	Program Comments

## Appendix C: Brief Program Summary Report Guidelines

Program summary reports will be reviewed by the Performance Review Panel in conjunction with a “progress towards plan” focus area report (generated by the PIER database). In order to ensure a fair and equitable review that focuses on content, Program summary reports should have the same look and feel. **Program Summary Reports that do not conform to the guidance below will not be presented to the Program Review Panel.** Program summary reports will be due into PIER no later than **August 17, 2012.**

**Format:** Programs should write a brief Program summary report for each of their focus areas. The total number of pages for all brief Program summary reports cannot exceed 20 total pages for all focus areas combined, but it is up to the discretion of the Program how many pages are allocated to each focus area. Any white space due to starting a new section of the report document will not be counted towards the 20 page limit. The font size should be no less than 10 and should be Times New Roman. Margins should be no less than 0.5 inch. Figures and illustrations may be included. All reports will be uploaded into PIER in PDF format and printed by the National Sea Grant Office.

**Content:** The brief Program summary reports should reflect the Program’s overall impact in a particular focus area and highlight major accomplishments and impacts that occurred between 2008 and 2011. How the information is presented within the report is up to the Program’s discretion. For example, Programs may want to explain how a series of projects were necessary over time to accomplish an objective or to achieve an outcome greater than the “sum of the parts”. This will be the PRP’s only source of information for impacts that occurred in FY2008 and 2009. For impacts that occurred in FY2010 and 2011, the PRP will already have reviewed the impact statements, so there is opportunity either to present additional information or to highlight areas where the Program has been particularly effective.

## Appendix D: PRP Evaluation Form

**NOTE:** In evaluating the Program's progress toward implementing their approved strategic plan (from the PRP Report), the baseline rating should be a 2, which may change based on the materials presented. Please use only the ratings indicated below (integers 0-4).

### a. Progress Toward Plan

*Please circle the rating:*    4   3   2   1   0

1. *Highest Performance (4) – exceeds expectations by an exceptional margin in most areas/aspects*
2. *Exceeds Expectations (3) – by a substantial margin in some areas/aspects*
3. *Successful (2)*
4. *Below Expectations (1)*
5. *Unsuccessful (0)*

1. **Is the Program making significant progress towards their previously approved Program Goals, Program Performance Measures, and/or Program Objectives in this focus area? Please describe the evidence below.**

## Appendix D: PRP Evaluation Form (cont.)

**NOTE:** In evaluating the Program's overall impact, the baseline rating should be a 2, which may change based on the materials presented. Please use only the ratings indicated below (integers 0, 2, 4).

### b. Overall Impact

*Please circle the rating:*    4   2   0

1. *Highest Performance (4) – particularly outstanding scientific or societal contributions on the local, regional or national level relative to their level of Sea Grant federal investment*
2. *Successful (2) – an acceptable, but not unusual, level of performance relative to their level of Sea Grant federal investment*
3. *Below Expectations (0) – a level of performance substantially less what would be expected relative to their level of Sea Grant federal investment*

**1. Considering the level of Sea Grant federal investment, is the Program making a significant contribution to science and technology in this focus area? Please describe the evidence below.**

**Suggested Considerations for Panelists –**

- What are the contributions to science and engineering: new understanding, products, processes, and technology?
- What is the area of impact: Local/State? Regional/National? International?
- What has been Sea Grant's role in producing this contribution?
- Are the science and technology contributions commensurate with the size of the federal investment?

**2. Considering the level of Sea Grant federal investment, is the Program making a significant contribution to society beyond the contribution to science and technology in this focus area? Please describe the evidence below.**

**Suggested Considerations for Panelists –**

- What are the economic benefits (e.g., value, jobs, and businesses) claimed?
  - New or expanded industries, companies, businesses?
  - Cost savings/ productivity improvements?
- What are the social benefits claimed?
  - Improved management of resources?
  - Better-informed public/constituent group on a major issue?
  - Changes in constituent group/public opinions/behavior?
  - Better public health/safety?
- What is the area of impact: Local/State? Regional/National? International?
- What has been Sea Grant's role in producing this benefit?

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## **2012 Performance Review Panel: Frequently Asked Questions**

### **Timeline**

#### **What is due when?**

**April 3, 2012** Optional Revisions for 2010 Annual Report Data

**June 1, 2012** 2011 Annual Report Data

**August 17, 2012** Program Summary Reports, and one-page Program Introduction

### **Update (June 30, 2012): New Questions**

#### **Is the one-page introduction single-sided or double-sided?**

The one-page Program introduction should be no more than a single-sided page.

#### **Should Program Summary Reports (20 pages) be submitted as a single document?**

*From the PIER Homepage "Upload PRP Documents" help button:* Upload 1 Program Summary Report for each of the National Focus Areas (and "Other" if your Program has an Ocean Literacy focus area). The TOTAL length of all Program Summary Reports shall not exceed 20 pages.

### **The Performance Review Panel (PRP) Report**

#### **How do I see my PRP Report?**

Please note that this is not an Annual Report, a Focus Team Report, or an Impacts and Accomplishments report. The PRP Report has very specific formatting and includes a subset of PIER data. To Print PRP Reports:

- i) Log into PIER: <https://pier.seagrants.noaa.gov>
- ii) In Left Nav, below "Resources – Reports" click "Performance Review Panel (PRP)"
- iii) Click the applicable Focus Area (must be printed individually)
- iv) Ensure that "RTF - Microsoft Rich Text Format - list view" is selected for the file format
- v) Click "Run Report"

#### **Why are some of my Impacts/Accomplishments not included in the PRP Report?**

The PRP Report lists the Impacts and Accomplishments by National Focus Area, Program Focus Area, and Program Goal. Thus, for an impact or accomplishment to be included, it must be associated with a Program Focus Area (primary OR secondary), AND it must be associated with at least one Program Goal. If these conditions are not met, the impact or accomplishment won't be included in the PRP Report. (NOTE: There is also a new option to "Exclude from PRP," but by default all Impacts and Accomplishments are included in the PRP).

#### **Why are my Impacts/Accomplishments duplicated in the PRP Report?**

All Impacts and Accomplishments are listed by goal in the PRP report. If one is linked to more than one goal, it will appear once under each goal.

#### **Why is my Impact/Accomplishment in multiple PRP reports?**

If an Impact or Accomplishment is linked to goals in more than one focus area, it will appear in the PRP report of each associated focus area.

#### **What if I want to include an impact/accomplishment in my annual report, but I don't want the PRP to see it?**

There is a button on each impact and accomplishment that toggles to allow you to either include them

in the PRP Report, or exclude them from the PRP Report (whatever you wish). By default, all 2010 and 2011 impacts and accomplishments are included in the report.

**You have provided the option to not include information in the PRP. What sort of information should we consider NOT including?**

It is completely at your discretion to exclude impacts or accomplishments from the PRP Report. As an example, programs often submit time-sensitive activities/accomplishments through PIER to update the NSGO. These later inform a more thorough impact or accomplishment statement, and thus become redundant.

**Other programs have reports that are much longer/shorter than mine. Should I worry about how long my report is?**

Remember that each member of the PRP will have to read every program's report for a given focus area. Consider how your report will appear to someone who is needing to both read and remember key details about your program. Make sure to provide sufficient context without overwhelming them with extraneous detail.

## **The Program Summary Report**

**Is there a recommended template for what should be contained in the Summary Report?**

Yes. It is Appendix C of the guidance (available: [http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012\\_Performance\\_Review\\_Panel\\_Guidance\\_structure\\_process\\_timeline\\_1-19-12.pdf](http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012_Performance_Review_Panel_Guidance_structure_process_timeline_1-19-12.pdf) )

**Can we write one Program Summary Report for all PRP working groups?**

No, the guidance (available: [http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012\\_Performance\\_Review\\_Panel\\_Guidance\\_structure\\_process\\_timeline\\_1-19-12.pdf](http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012_Performance_Review_Panel_Guidance_structure_process_timeline_1-19-12.pdf) ) has not changed. Each Program Summary Report will go to one PRP working group, and the total of all reports should not exceed 20 pages in length.

However, in response to suggestions for a document that all PRP working groups would see, Programs now have the option to write a one-page introduction that will go to all PRP working groups.

**How should the 20 pages be divided among National Focus Area Program Summary Reports?**

Working within the 20 page total constraint, it is up to the discretion of your Program to decide how long each report should be. Some Programs have used the proportions from Estimated Level of Effort as a guideline.

**What about the reviewers that don't know Sea Grant or a specific Program?**

All PRP reviewers will get an orientation to Sea Grant prior to the PRP evaluation. If the Program chooses to provide the one-page introduction, all PRP working groups will get that introduction to the Program. Additionally, we will provide all reviewers with all Programs' Strategic Plans.

**How do we submit the one-page introduction and the Program Summary Reports?**

- i) Log into PIER: <https://pier.seagrant.noaa.gov>
- ii) In "Program Summary Reports" section, select the applicable National Focus Area.
- iii) Include the Attachment Name
- iv) Click "Browse" button
- v) Select file and click "Open"

## **Estimated Level of Effort per Focus Area**

**What's the point of the Estimated Level of Effort per Focus Area?**

This information is used to communicate the effort each Program contributes toward each National Focus Area. The goal is to ensure that the emphasis given to scores is related to the emphasis a Program places on a specific focus area (see “Overall Program Ratings and Allocation of Merit Funds” section of 2012 PRP Guidance: [http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012\\_Performance\\_Review\\_Panel\\_Guidance\\_structure\\_process\\_timeline\\_1-19-12.pdf](http://www.seagrant.noaa.gov/other/admininfo/documents/ppe/2012_Performance_Review_Panel_Guidance_structure_process_timeline_1-19-12.pdf))

### **How do I change the values in the Estimated Level of Effort table?**

The Level of Effort summary table at the top of the page is calculated from the level of effort information on all of your individual projects (the second table of the page), and any Program-managed leveraged funds you report (third table). You change your overall Estimated Level of Effort by changing the values in the individual project table and the Program-managed leveraged funds tables.

All projects that have been submitted and have at least a primary focus area are listed. Any managed-leveraged funding associated with that project is listed beside the sum of SG appropriated funds, associated match, and NSGO Pass-Thru for that project. If there are any managed-leveraged funds that are NOT associated with a single project (Program-level managed-leveraged funds), they are listed in the bottom table.

If all funds went toward the primary focus area (for projects and Program-level managed-leveraged funds), no additional changes are necessary. If the projects or Program-level managed-leveraged funds are associated with more than one national focus area, click edit, adjust the percentages for each national focus area, and click save. Changes should be reflected in the top summary table.

### **What is the “Other” section in Level of Effort?**

The “Other” section in the Level of Effort table is intended to capture effort supporting a Program’s Focus Area, when that Program Focus Area doesn’t match any of the National Focus Areas. In practice, all of the Program Focus areas in the 2010-2013 strategic plans can be matched to one or more of the four National Focus Areas, except for Program Focus Areas dealing with Marine and Coastal Literacy. If your Program has a Literacy focus area, your level of effort in that area will be captured in this “Other” category.

*If your program does not have a Literacy focus area, you should not report any effort in the “Other” category.*

### **Do I put extension projects the in the “Other” category? Knauss Fellows?**

No projects should be in “Other” unless 1) The Program has an Marine/Coastal Literacy Program Focus Area, and 2) the project supports this Marine/Coastal Literacy area. Projects (e.g., extension projects or Knauss fellows) follow the same rules as any other project. It is up to your Program to determine the most appropriate funding distribution to each National Focus Area.

### **What years of Level of Effort data will be used to weight the ratings of the PRP?**

Because the current National Focus Areas and Program Focus Areas did not exist prior to 2010, only 2010 and 2011 estimated level of effort will be used in the PRP process.

### **If I change the Primary Focus Area of a project, does it change the level of effort for that project?**

No. Once the default is set (upon first accessing the level of effort page for the selected year), any changes have to happen manually. Changing a Primary Focus Area will not change that page - assuming that a user has already visited the page, thus creating the default 100% in the primary focus area.

## **Leveraged Funding**

### **How do I enter leveraged funds into PIER?**

On the leveraged funds page of PIER, indicate which are managed and which are influenced (see: [http://www.seagrant.noaa.gov/other/admininfo/documents/guidance/National\\_PM\\_Metrics\\_Def\\_2011.pdf](http://www.seagrant.noaa.gov/other/admininfo/documents/guidance/National_PM_Metrics_Def_2011.pdf) ).

If these funds are associated with a single project, please indicate that on the leveraged funds page of PIER. If they are associated with multiple projects, please enter multiple rows, each associated with a single project, and the amount that went to that project. Managed-leveraged funds, but not influenced leveraged funds, are included in scaling the scores of the PRP.

## **Impacts and Accomplishments**

### **How many impacts and accomplishments should I include for my PRP?**

It is important to focus on QUALITY (as defined in the guidance: [http://www.seagrant.noaa.gov/other/admininfo/documents/guidance/Impact\\_Guidance.pdf](http://www.seagrant.noaa.gov/other/admininfo/documents/guidance/Impact_Guidance.pdf)) as opposed to quantity. The strong impacts and accomplishments of a Program may be watered down by weaker ones if too many are in the PRP Report.

### **My Program is a large program, shouldn't my reports be longer (i.e., show more impacts)?**

If you have a larger program, then your Program would be expected to have more impact. That doesn't necessarily mean that you have more impact statements. For example, instead of only assisting 2 communities to adapt to change, your Program might have assisted 20 communities to adapt to change.

### **Will the PRP Review Impacts, Accomplishments, or both? What is the difference?**

The PRP will review both. Therefore, a Program should identify accomplishments as just that. They will still be in the report and will be reviewed by the PRP. An accomplishment statement should describe the activities or products that result from a Sea Grant project. An impact statement should succinctly describe the difference that those activities made to the ecosystem, to the community, to individuals, to whoever the activities were intended to benefit.

A simple test might be, if you are describing what Sea Grant did, it's probably an accomplishment. If you are describing what something or someone else did, or gained, or preserved, or accomplished, as a result of Sea Grant efforts, it's more likely an impact.

### **Is there a format for impacts and accomplishments? Should impacts and accomplishments be in the same format?**

Yes - see guidance ([http://seagrant.noaa.gov/other/admininfo/documents/guidance/Impact\\_Guidance.pdf](http://seagrant.noaa.gov/other/admininfo/documents/guidance/Impact_Guidance.pdf))

### **Once you exclude an Impact or Accomplishment, can you decide to include it again in the PRP Report?**

Yes - Once you click "Exclude" the button immediately changes to "Include." If you include it again, the button immediately changes back to "Exclude."

### **Why are there no goals for me to select in the "Associated Goals" tab? Do I have to select a goal?**

The goals in this tab include all goals for selected primary and secondary focus areas, thus an impact or accomplishment with only the old Sea Grant Theme Team (NIMS data) selected as a focus area will not have any goals. The only way for an impact/accomplishment to show up in the PRP report is to associate it to at least one goal.

### **Do the Include/Exclude from PRP Report buttons get locked on April 3 for 2010 Impacts?**

No.

### **What happens if there is a recurring impact/accomplishment from year to year, but some of the data changes, and I don't want the impact/accomplishment to repeat itself in the PRP report?**

Include the new impact/accomplishment in the current reporting year, and click “exclude from PRP” for the old impact/accomplishment statements.

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## **2012 Transitional Performance Review Panel (PRP) Guidance for Panelists**

### **Performance Review Panel (PRP) Overview**

- Panelists will perform a structured performance review of 31 Sea Grant programs in a specific focus area for the years 2008 through 2011.
- Panelists will be split into five working groups (Healthy Coastal Ecosystems, Safe and Sustainable Seafood Supply, Sustainable Coastal Development, Hazard Resiliency in Coastal Communities, and Ocean and Coastal Literacy).
- Working groups will review: (1) each program's progress towards achieving its four-year strategic plan (for the years 2010-2011), and (2) each program's overall impact (2008-2011) in that focus area.
- Each panelist will provide ratings on both the program's progress towards their plan and the program's overall societal impact in that working group (ratings will be used in funding allocation decisions for the next four years).
- Panelists will have about six weeks to review written materials on each Program's efforts.
- Panelists will provide ratings and written comments for assigned primary and secondary programs (approximately 15 programs) in advance of the panel meeting, participate in two conference calls (mid-July and late August), then meet as a panel for one full week in October/November, 2012 in Silver Spring, MD (Appendix A).
- Each panelist will be the primary reviewer for approximately five programs and is responsible for completing the PRP Summary Evaluation Form by the end of the week.
- The National Sea Grant Office will pay for the panelists' travel, accommodations, and provide an honorarium (if permitted).
- After the review, the names of the panelists will be released without identifying focus area or primary reviewer assignments.
- Panelists shall recuse themselves from discussions for any program in which they have a vested interest, currently reside in that state, or any other conflict of interest real or perceived.

### **Before the Panel meets**

The review preparation will entail:

#### **1. Review Program Materials:**

- a. 2010-2011 PRP Report (focusing on the program's progress towards plan):
  - i. Impacts and accomplishments listed by the Program's goals
  - ii. Program objectives
  - iii. Program performance measures
- b. Program Summary Report (2008-2011):

- i. A brief Program impact summary written by the Program
    - c. Reference Materials:
      - i. Approved Program Strategic Plan
      - ii. Optional one-page introduction
      - iii. Sea Grant Federal Investment in the focus area
- 2. Participate in Conference Calls** (there will be two calls):
- a. One in late July
    - i. Introduction to the Focus Area working group
    - ii. Discussion of the PRP process, including overview materials (2012 Transitional Performance Review Panel Guidance, forms, timeline)
    - iii. Responsibilities of primary, secondary, and tertiary reviewers (assigned prior to call)
    - iv. Discuss of travel arrangements
  - b. One in late August
    - i. Review agenda for PRP
    - ii. Address any questions or concerns
    - iii. Finalize travel arrangements
- 3. Complete a written evaluation form (Appendix B) for approximately 15 programs and review documents for all other programs**
- a. Each panelist will serve as:
    - i. a primary reviewer for approximately five programs
    - ii. a secondary reviewer for approximately ten programs
    - iii. a tertiary reviewer for all remaining programs
  - b. The primary and secondary written evaluations will consist of rating and commenting in two areas (Appendix B):
    - i. progress towards plan
    - ii. overall impact
  - c. These evaluation forms will be due to the working group chair prior to panel meetings:
    - i. SSSS, SCD and “Ocean Literacy” – Due October 1<sup>st</sup>
    - ii. HCE and HRCC – Due October 15<sup>th</sup>
  - d. The evaluation forms will be posted on a secure site so that other panelists can review them before the panel meets.
- 4. Prepare to discuss and rate ALL programs**

### **During the Panel Meeting**

- 1. **Primary Reviewer** –
  - a. Begin discussion of assigned programs
  - b. Explain two ratings and comments:
    - i. Program progress towards plan

- ii. Program overall impact
  - c. Complete PRP Summary Evaluation Form by the end of the week-long review and submitted electronically to the Chair of the working group.
- 2. **Secondary Reviewer-**
  - a. Explain two ratings and any additional comments:
    - i. Program progress towards plan
    - ii. Program overall impact
  - b. Provide additional comments for the PRP Summary Evaluation Form
- 3. **Tertiary Reviewer – (all panelists that are not a primary or secondary reviewer)**
  - a. Provide two ratings and any additional comments:
    - i. Program progress towards plan
    - ii. Program overall impact
  - b. Provide additional comments for the PRP Summary Evaluation Form

### **After the Review**

1. Panelists may be asked clarifying questions by the panel chair the week immediately following the review.
2. All panelists will be asked to share their thoughts about the PRP process.

Please don't hesitate to contact your PRP Chair with any questions:

*Healthy Coastal Ecosystems* - Dorn Carlson - [Dorn.Carlson@noaa.gov](mailto:Dorn.Carlson@noaa.gov)

*Safe and Sustainable Seafood Supply* - Gene Kim - [Gene.Kim@noaa.gov](mailto:Gene.Kim@noaa.gov)

*Sustainable Coastal Development* - Mike Liffmann - [Michael.Liffmann@noaa.gov](mailto:Michael.Liffmann@noaa.gov)

*Hazard Resilient Coastal Communities* - Joshua Brown - [Joshua.Brown@noaa.gov](mailto:Joshua.Brown@noaa.gov)

*Ocean and Coastal Literacy* - Chelsea Berg - [Chelsea.Berg@noaa.gov](mailto:Chelsea.Berg@noaa.gov)

## Appendix A: Panelist Timeline

<u>Week of</u>	<u>Event/Task</u>
July 23, 2012	First conference call
August 20, 2012	Materials sent to panelists
August 27, 2012	Second conference call
*October 1, 2012	Week 1 (SSSS, SCD, Literacy) primary and secondary panelist evaluation forms returned to panel chair via Google Docs or email.
October 15, 2012	Week 1 (SSSS, SCD, Literacy) working groups meet in Silver Spring, MD. Panelists provide rating and comments on Program progress toward plan and overall impact. Primary panelists complete PRP Summary Evaluation Form.
*October 15, 2012	Week 2 (HCE, HRCC) primary and secondary panelist evaluation forms returned to panel chair via Google Docs or email.
October 29, 2012	Week 2 (HCE, HRCC) working groups meet in Silver Spring, MD. Panelists provide rating and comments on Program progress toward plan and overall impact. Primary panelists complete PRP Summary Evaluation Form.

**\* Actual due date (a Monday) for the evaluation forms. Please don't wait until Friday of the week indicated.**

## Appendix B: PRP Evaluation Form

**NOTE:** In evaluating the Program's progress toward implementing their approved strategic plan (from the PRP Report), the baseline rating should be a 2, which may change based on the materials presented. Please use only the ratings indicated below (integers 0-4).

### I. Progress Toward Plan

*Please circle the rating:*    4    3    2    1    0

- a. *Highest Performance (4) – exceeds expectations by an exceptional margin in most areas/aspects*
  - b. *Exceeds Expectations (3) – by a substantial margin in some areas/aspects*
  - c. *Successful (2)*
  - d. *Below Expectations (1)*
  - e. *Unsuccessful (0)*
1. **Is the Program making significant progress towards their previously approved Program Goals, Program Performance Measures, and/or Program Objectives in this focus area? Please describe the evidence below.**

## Appendix B: PRP Evaluation Form (cont.)

**NOTE:** In evaluating the Program's overall impact, the baseline rating should be a 2, which may change based on the materials presented. Please use only the ratings indicated below (integers 0, 2, 4).

### II. Overall Impact

**Please circle the rating:**    4    2    0

- a. *Highest Performance (4) – particularly outstanding scientific or societal contributions on the local, regional or national level relative to their level of Sea Grant federal investment*
- b. *Successful (2) – an acceptable, but not unusual, level of performance relative to their level of Sea Grant federal investment*
- c. *Below Expectations (0) – a level of performance substantially less what would be expected relative to their level of Sea Grant federal investment*

1. **Considering the level of Sea Grant federal investment, is the Program making a significant contribution to science and technology in this focus area? Please describe the evidence below.**

**Suggested Considerations for Panelists –**

- What are the contributions to science and engineering: new understanding, products, processes, and technology?
- What is the area of impact: Local/State? Regional/National? International?
- What has been Sea Grant's role in producing this contribution?
- Are the science and technology contributions commensurate with the size of the federal investment?

2. **Considering the level of Sea Grant federal investment, is the Program making a significant contribution to society beyond the contribution to science and technology in this focus area? Please describe the evidence below.**

**Suggested Considerations for Panelists –**

- What are the economic benefits (e.g., value, jobs, and businesses) claimed?
  - New or expanded industries, companies, businesses?
  - Cost savings/ productivity improvements?
- What are the social benefits claimed?
  - Improved management of resources?
  - Better-informed public/constituent group on a major issue?
  - Changes in constituent group/public opinions/behavior?
  - Better public health/safety?
- What is the area of impact: Local/State? Regional/National? International?
- What has been Sea Grant's role in producing this benefit?

## Allocation Plan

Allocation Committee II Charge

Board Response to Charge

Allocation Committee Recommendations  
Presentation



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Allocation Committee II Charge  
From Leon Cammen, Director, NSGO  
March, 2011

**Subject:** Revised charge to the National Sea Grant Advisory Board to Review Sea Grant's Funding Model and its Policies and Criteria for Allocating Sea Grant Funding Resources

**Purpose:** To develop policies and criteria for managing and allocating Sea Grant funding resources that will be consistent with Sea Grant's legislative authority and will maximize the effectiveness, efficiency, and impact of the National Sea Grant College Program.

**Background:** Following the 2002 reauthorization of the National Sea Grant College Program, a policy document, "*Policy for the Allocation of Funds, FY 2003 and Beyond*," was developed by a joint committee of the National Sea Grant Review Panel, the Sea Grant Association (SGA), and the National Sea Grant Office (NSGO) to guide the allocation of appropriated funds in a manner consistent with the new legislation. Almost a decade later, state austerity budgets, coupled with years of relatively flat Federal funding and continued inflation, have increased the financial pressure on all state Sea Grant Programs. This has been especially difficult for the smaller programs, which have less ability to absorb budget cuts.

The National Sea Grant Advisory Board's 2009 report, "*Sea Grant Research*," considered several alternative models for funding allocation, outlining the positive and negative aspects of each, but did not make any recommendations regarding their potential adoption.

It is time again to reconsider Sea Grant's current allocation policy in light of its current and prospective budget levels and determine whether it is still appropriate or whether we need to make changes in the way Sea Grant defines and supports its local, state, regional, and national programming.

**Charge to the National Sea Grant Advisory Board:** The National Sea Grant Advisory Board should provide advice on national policy and criteria for allocating funding resources for Sea Grant programs and initiatives that will maximize the effectiveness, efficiency, and impact of the National Sea

Grant College Program, be consistent with Sea Grant's legislative authority, and recognize the long-term decline in the purchasing power of the national Sea Grant appropriation. The allocation policy will need to meet the following objectives:

- Take into account strategies that State programs have developed to accommodate declining real federal and, in many cases, state funding
- Ensure that Sea Grant programs will have sufficient resources, to the extent overall funding allows, to function effectively in their respective environments
- Provide guidance for the allocation of funding between base programs and discretionary activities

In developing recommendations for the allocation policy, the Advisory Board should consider alternative models for allocating resources than the current policy, including those presented in the recent "*Sea Grant Research*" report. The Advisory Board should also consider whether guidelines are appropriate for the allocation of resources within Sea Grant programs for research, education, etc. and if so, what form those guidelines might take.

**Participants:** The Advisory Board, through the appointment of an appropriate subcommittee, will carry out this policy review. The subcommittee should include Board members and may include any other individuals who could provide useful perspective both from within and external to the Sea Grant network. The National Office is prepared to provide staff support and travel funds as necessary to facilitate the subcommittee's discussions.

**Potential Schedule:** Draft recommendations, with or without options, should be available for discussion at the fall, 2011 Board meeting.

September 28, 2011

From: John Woeste  
 Chairman, National Sea Grant Advisory Board

To: Leon Cammen  
 Director, National Sea Grant College Program

Re: Recommended Allocation Principles and Framework

Dear Leon,

In response to your request, the National Sea Grant Advisory Board (the Board) unanimously recommends the following allocation principles and framework for your consideration, in answer to your request (letter dated March 2011) to the Board for a strategy to maintain a viable national Sea Grant network.

The principles are:

- Maintain the national network
- Preserve Sea Grant Model
- Funding to State Programs:
- Statutory limit: No state can receive more than 15%
  - Need-driven
  - Competitive
  - Merit-based
  - Stable funding to manage program
  - Institutionalizes regional research
  - Program Director retains discretion within program, helps set regional priorities
- Funding for National Programs:
  - National Strategic Investments: competitively available to programs
  - Fund a functional national office
- Phase in new policy
  - Not to exceed two 4-yr planning cycles (8yrs)

Building upon these principles, the Board suggests the following framework:

- State (75% Federal Funds)
  - Base to program (50% Federal Funds)
    - Administration/Extension/Education/Communication/Research
    - Fair and equitable needs-based distribution of funds to state programs
  - Regional Competitive Research (15% Federal Funds)
    - Regionally funded NSIs; competitive among states
    - Total determined by need-based allocation by state
  - Merit Pool (10% Federal Funds)

- Administration/Extension/Education/Communication/Research
  - Competitive
  - Performance based
  - Total state budgets should strive for 40-60% research
- National (25% Federal Funds)
  - Competitive National Programs
    - Fellowships
    - National Strategic Investments
  - NSGO

# Allocation Committee II

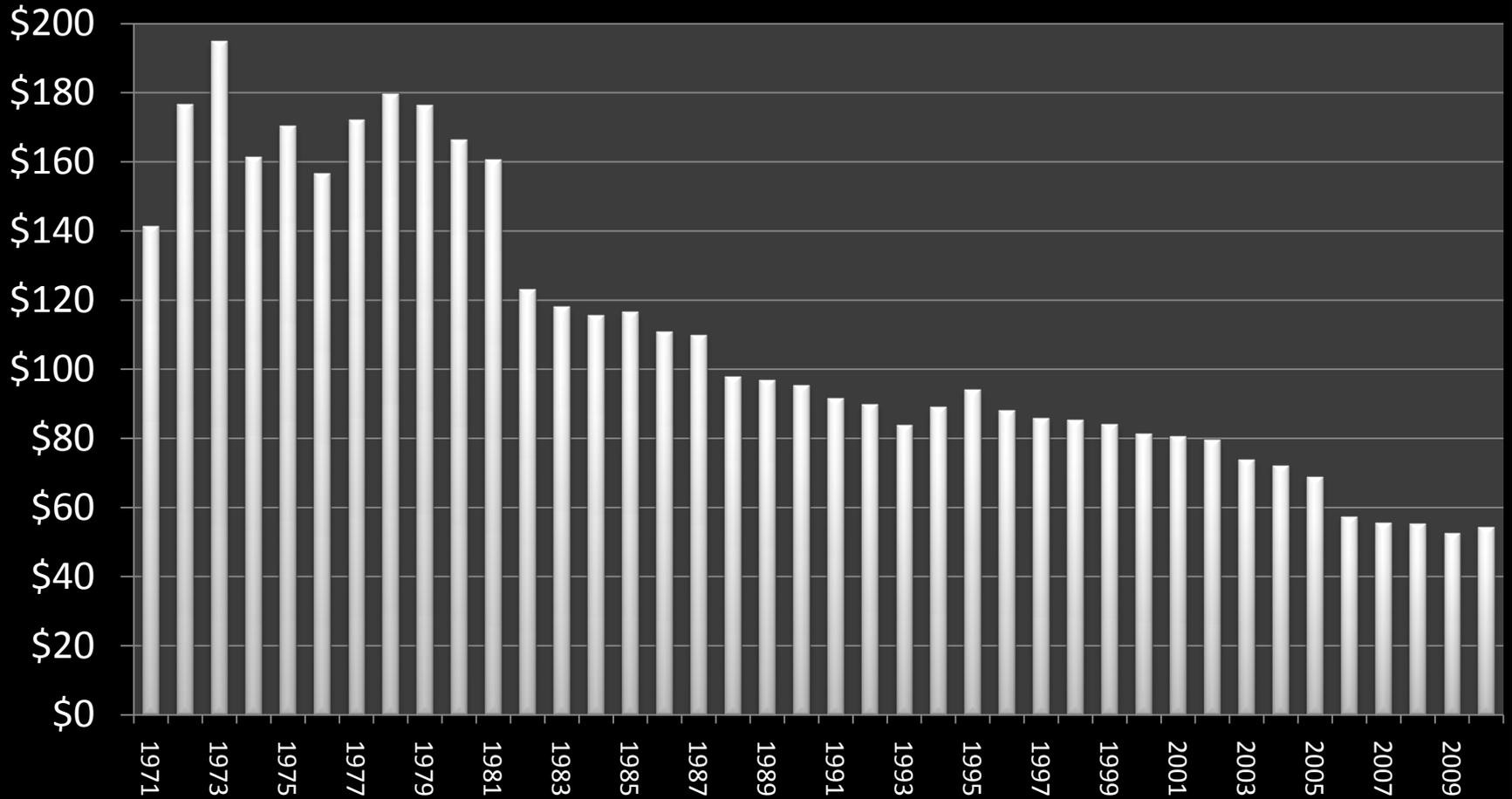
National Sea Grant Advisory Board Meeting

September 28-29, 2011

Rhode Island Sea Grant

Narragansett, RI

# Declining Buying Power (in millions of 2007 \$)



Courtesy Ross Heath

# NSGAB Allocation Committee (ACII)

## Committee Membership:

Dick West, Chair, NSGAB

Bill Stubblefield, NSGAB

Dick Vortmann, NSGAB

Bob Duce, former NSGAB, Chair, Research Committee

Mike Liffmann, NSGO

Dorn Carlson, NSGO

Paul Anderson, SGA

## NSGO Support:

Joshua Brown, NSGO

September 2011  
Narragansett, RI

Convened  
July 18-20, 2011

# Charge to the Board

## NSGCP Director's Letter\* (March 2011)

- To develop policies and criteria for managing and allocating Sea Grant funding resources that will be consistent with Sea Grant's legislative authority and will maximize the effectiveness, efficiency, and impact of the National Sea Grant College Program.

\*National Sea Grant Director's tasking letter contained in briefing book

# Charge to the Board

- The allocation policy will need to meet the following objectives:
  - Allow for strategies that State programs have developed to accommodate changing real federal and state funding
  - Ensure that Sea Grant programs will have sufficient resources, to the extent overall funding allows, to function effectively in their respective environments
  - Provide guidance for the allocation of funding among base funding, merit funding, and national and regional strategic investments

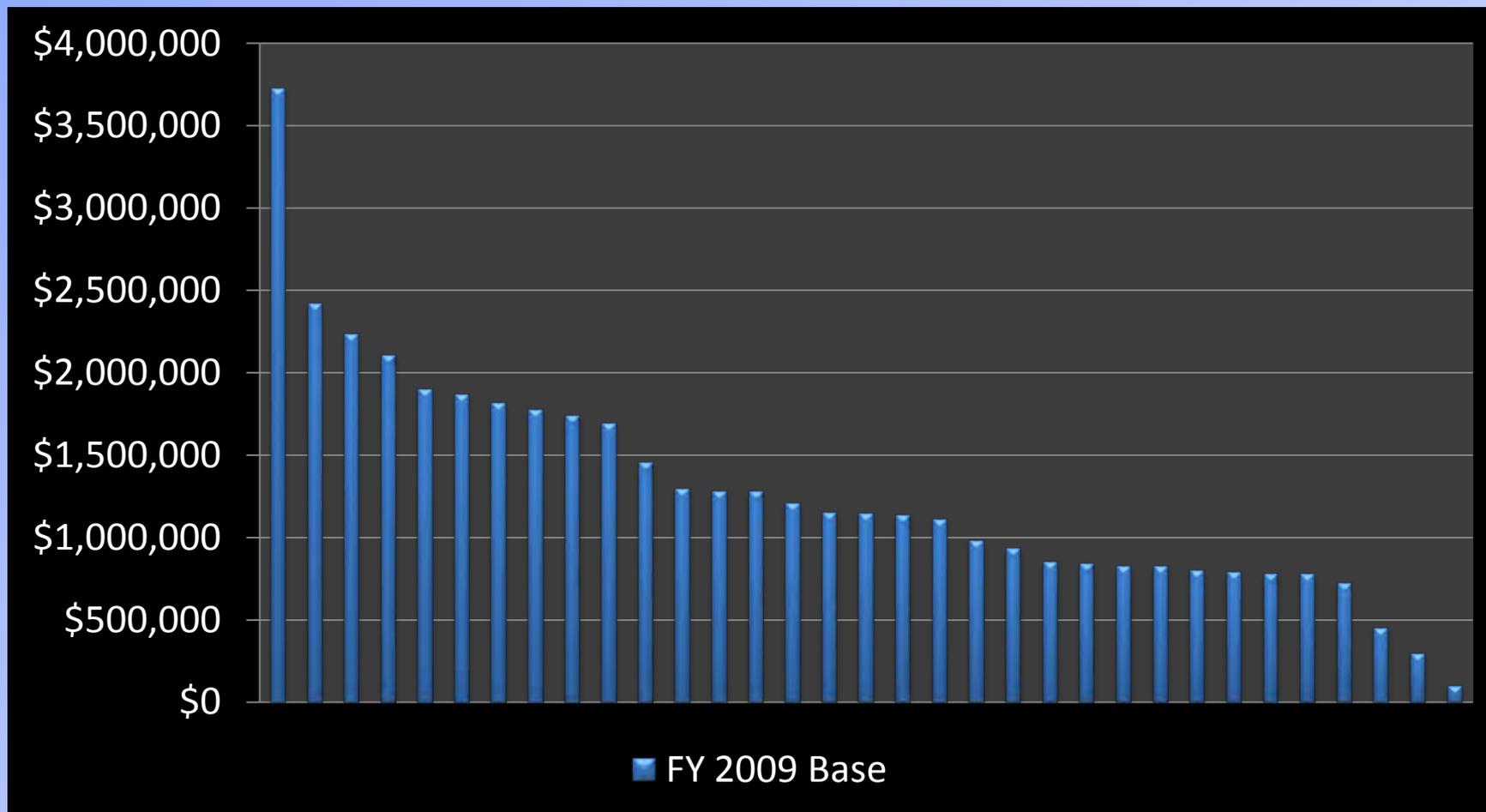
# NSGAB ACII Review

- Why now?
  - 2003 allocation policy requires review 1 year before next reauthorization (2014)
    - 2014 budget preparation is underway
  - Upcoming Strategic Plans and Omnibus renewals
  - Potential for prolonged period of zero or negative growth in Federal funding
  - Update to Second Biennial Report to Congress in 2012 –need to respond on decreasing buying power and regional actions
  - Current policy was geared to develop programs. No longer expanding as we now have College or Institutional programs in every coastal state.
  - SGA Requested review in Small Programs Report
  - Ability to respond to Congressional and Executive inquiries
  - Reauthorization hearings/language in 2013

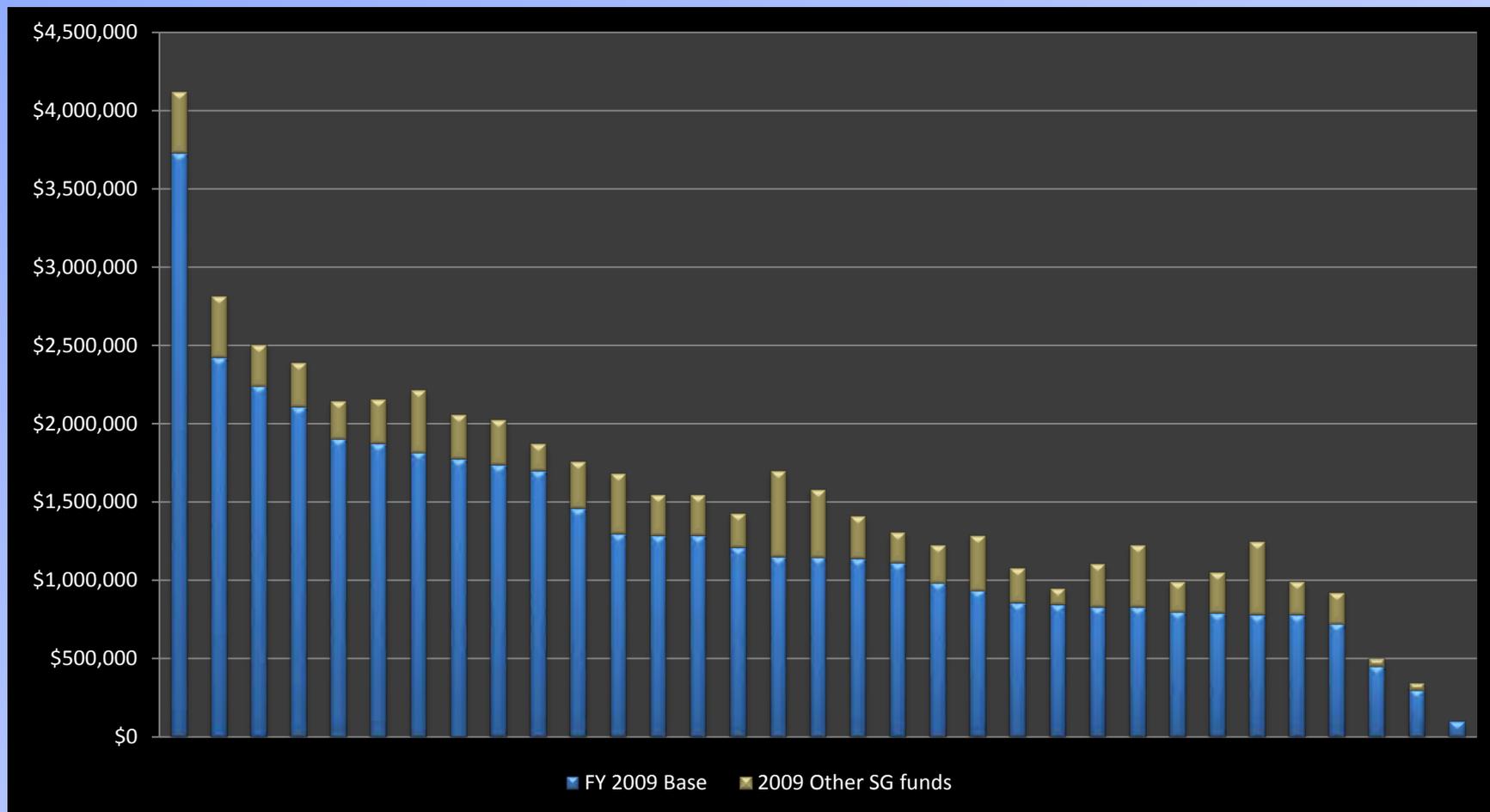
# NSGAB ACII Review

- Why change?
  - Declining program buying power and capacity to be effective is at risk, especially for small programs (Ross' slide)
  - Existing allocation policy has assumed growing appropriation, that assumption is no longer valid
  - The integrity of the national network is threatened
  - OMB and The Hill have stressed that Sea Grant Research should be more responsive to emerging regional and national issues
  - Current allocation scheme is not equitable for today's environment – it is a liability when arguing for future budgets

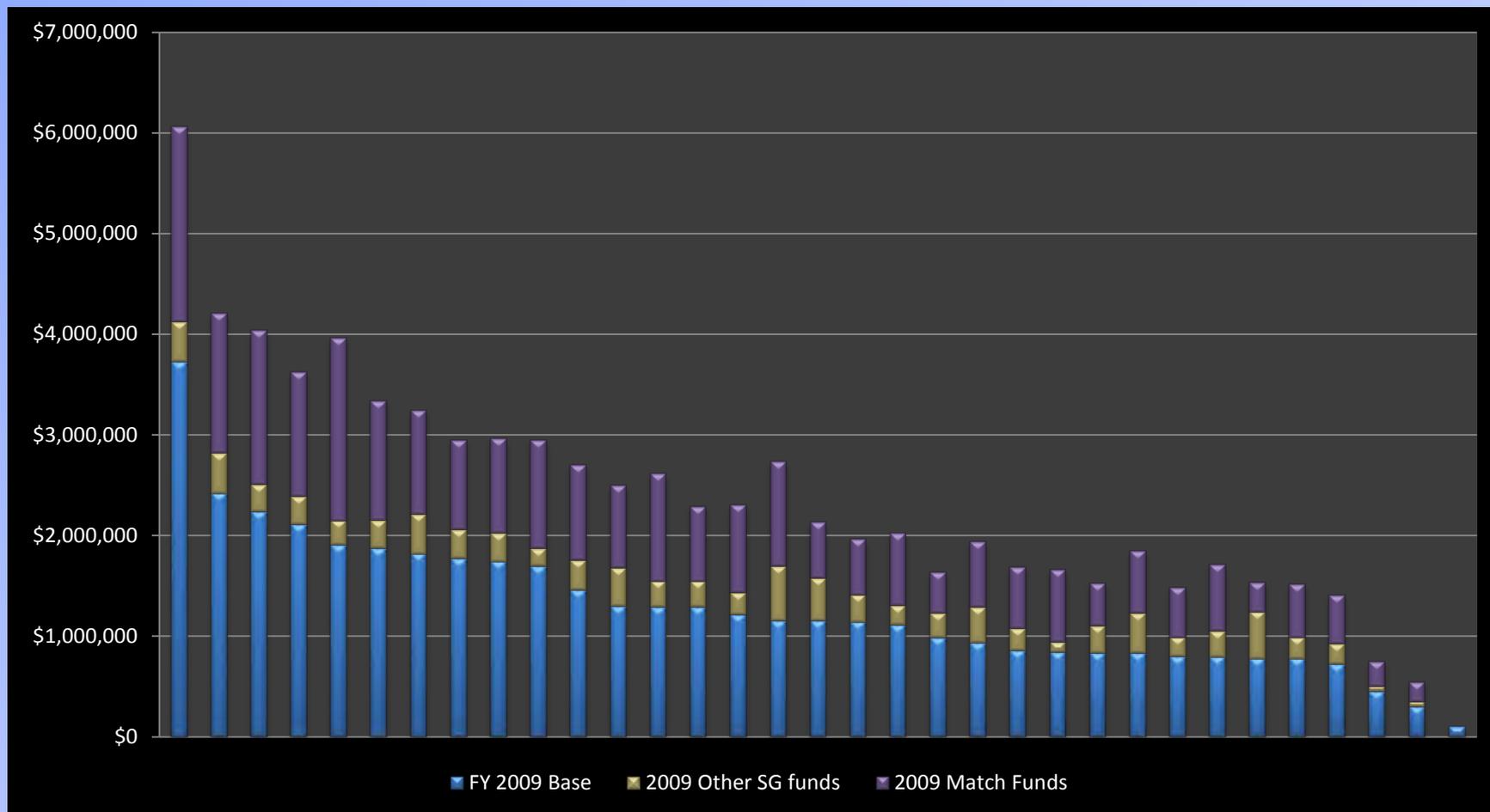
# 2009 Individual Program Base Funding



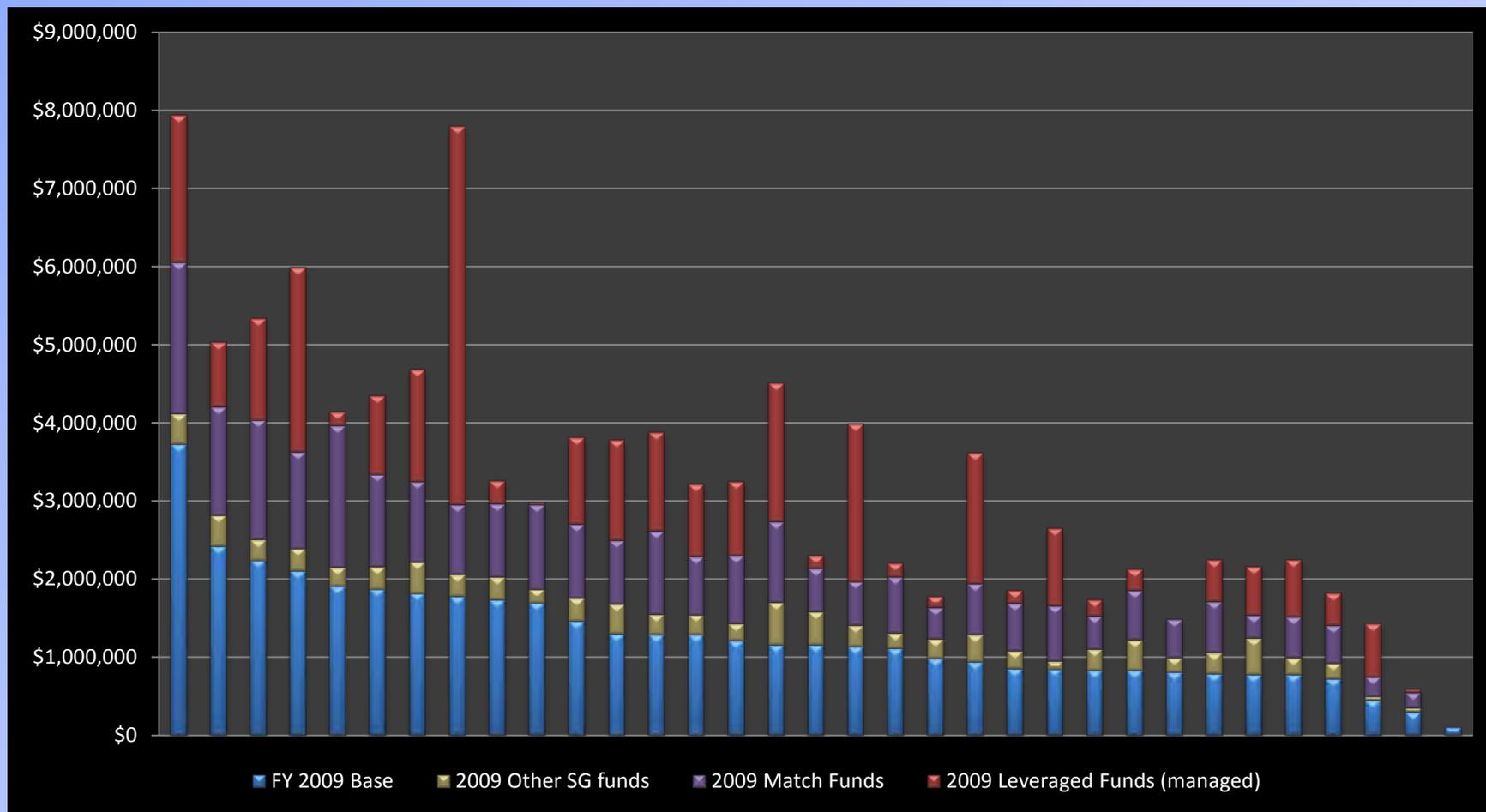
# 2009 SG Federal Funds



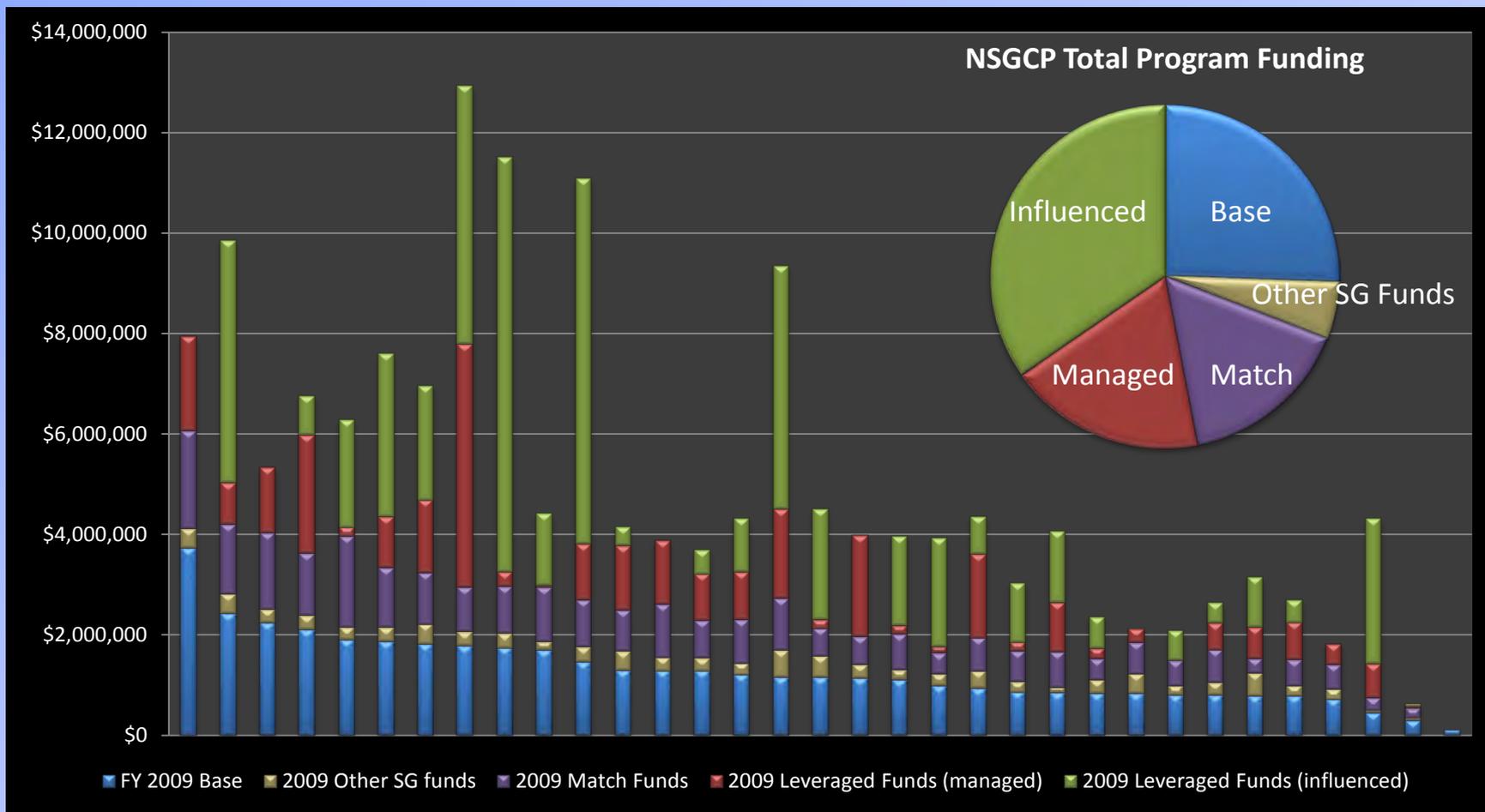
# 2009 Federal + Match



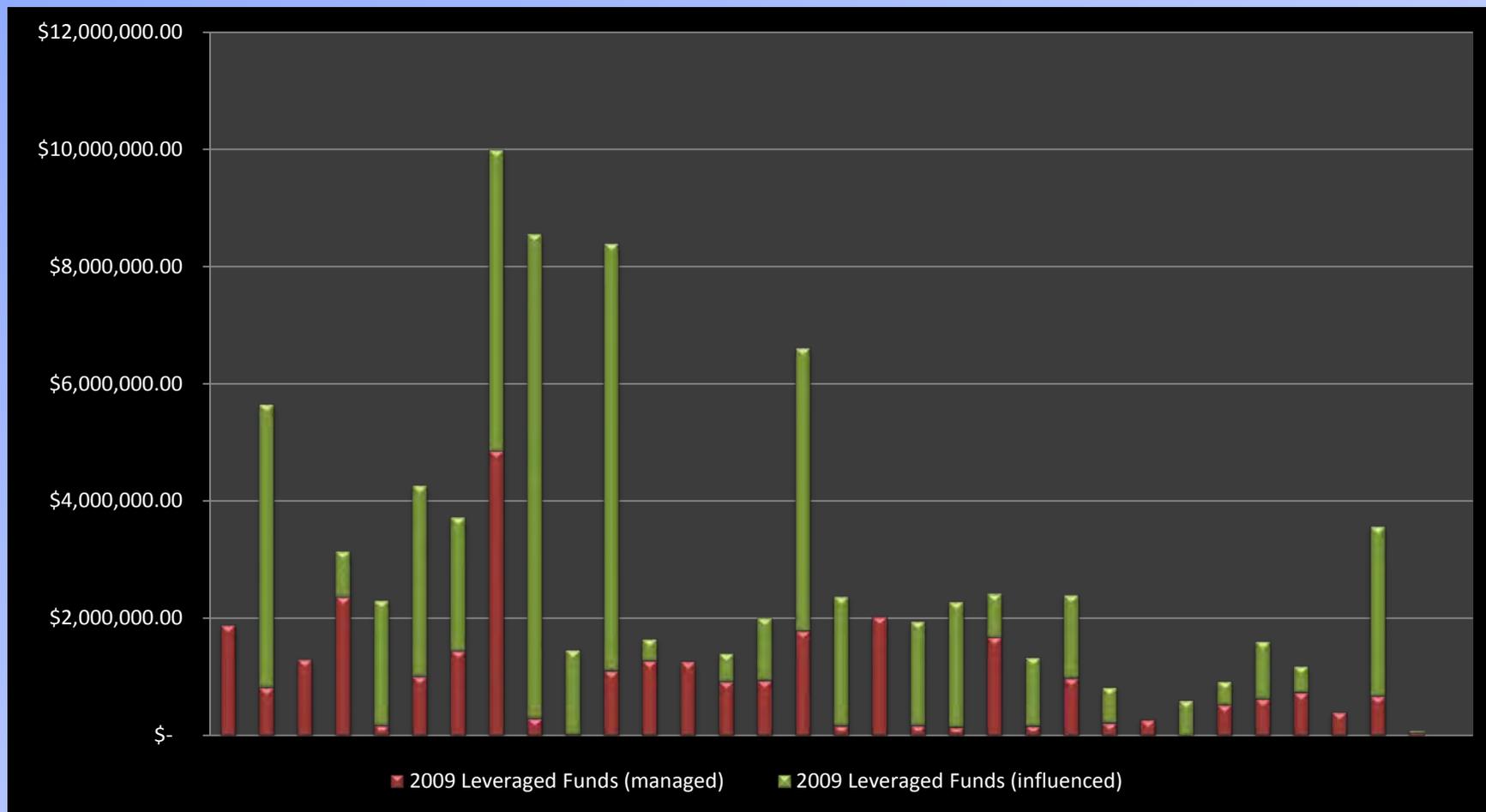
# 2009 Federal + Match + Leveraged (Managed)



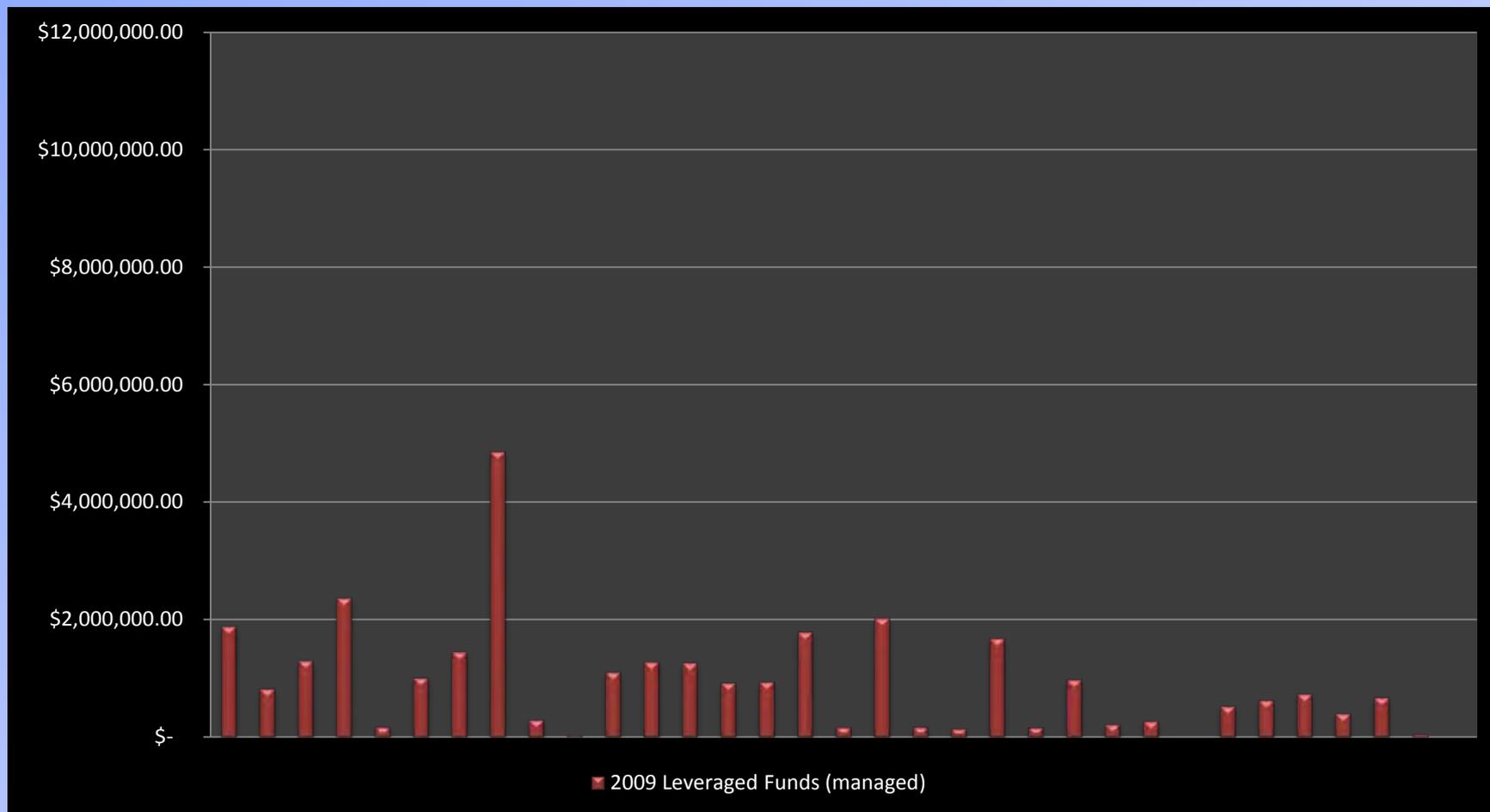
# 2009 Federal + Match + Leveraged (Managed & Influenced)



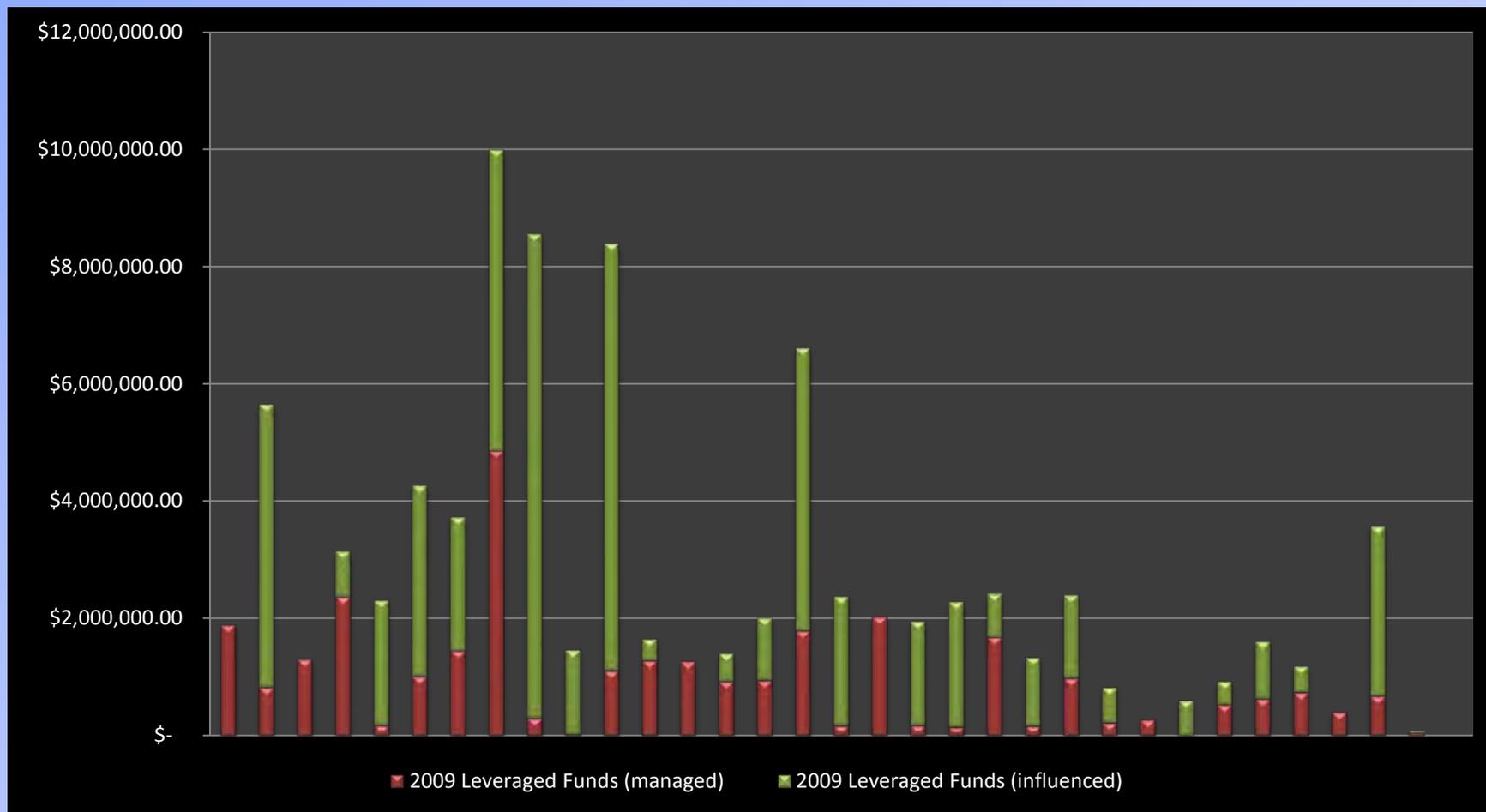
# 2009 All Leverage



# 2009 Leverage (manage)

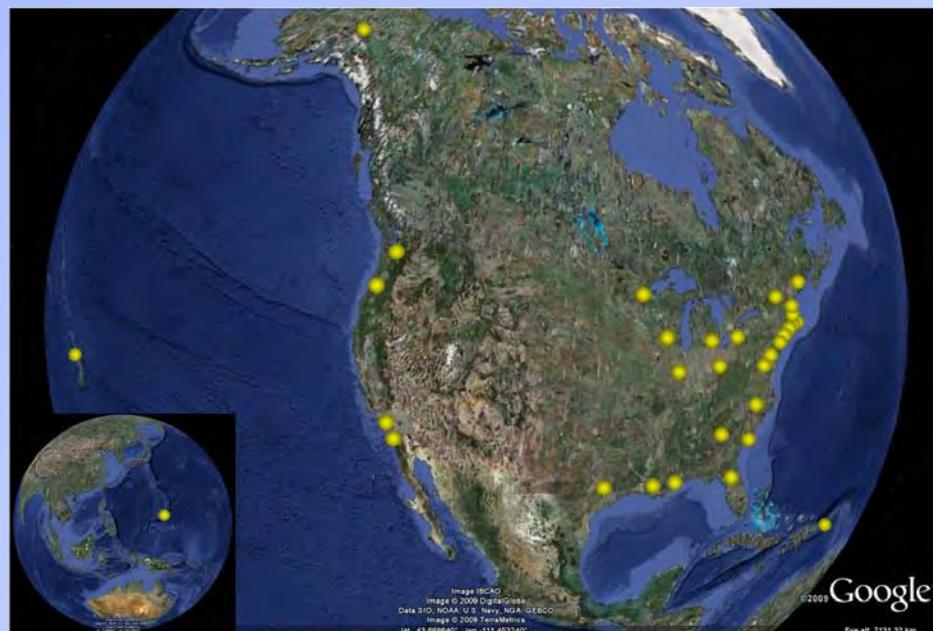
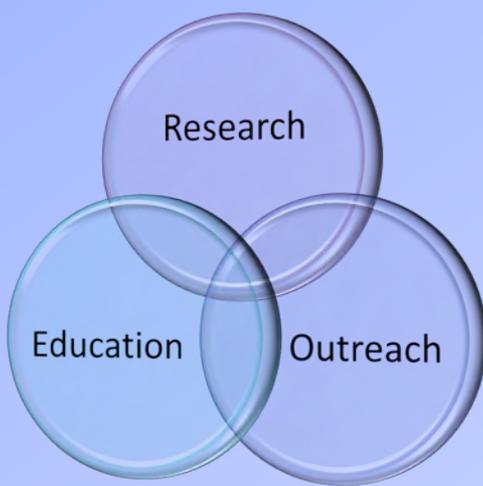


# 2009 All Leverage



# ACII Allocation Principles

- Maintain the national network
- Preserve Sea Grant Model



# ACII Allocation Principles

- Funding to State Programs:
  - Statutory limit: No state can receive more than 15%
  - Need-driven
  - Competitive
  - Merit-based
  - Stable funding to manage program
  - Institutionalizes regional research
  - Program Director retains discretion within program, helps set regional priorities

# ACII Allocation Principles

- Funding for National Programs:
  - National Strategic Investments: competitively available to programs
  - Fund a functional national office
- Phase in new policy
  - Not to exceed two 4-yr planning cycles (8yrs)

# Recommended ACII Allocation Policy<sup>113</sup> Framework

- **State (75% Federal Funds)**
  - Base to program (50% Federal Funds)
    - Administration/Extension/Education/Communication/Research
    - Fair and equitable needs-based distribution of funds to state programs
  - Regional Competitive Research (15% Federal Funds)
    - Regionally funded NSIs; competitive among states
    - Total determined by need-based allocation by state
  - Merit Pool (10%)
    - Administration/Extension/Education/Communication/Research
    - Competitive
    - Performance based
  - Total state budgets should strive for 40% or more research
- **National (25% Federal Funds)**
  - Competitive National Programs
    - Fellowships
    - National Strategic Investments
  - NSGO

# Allocation Policy Resolution

- ACII Subcommittee recommends the NSGAB approve the following NSGCP allocation policy and forward to the NSGCP Director per his request to maintain a viable national Sea Grant network.
  - In view of the reasons listed in the “Why Now” slide, revise the NSGCP funding allocation as follows:
    - Develop a model that meets the Recommended ACII Allocation Policy Framework outlined on slide 18
    - Begin by the FY14 budget
    - Complete change incrementally over two 4-year cycles

# ACII Response to a Major Decrease in<sup>15</sup> SG Funding

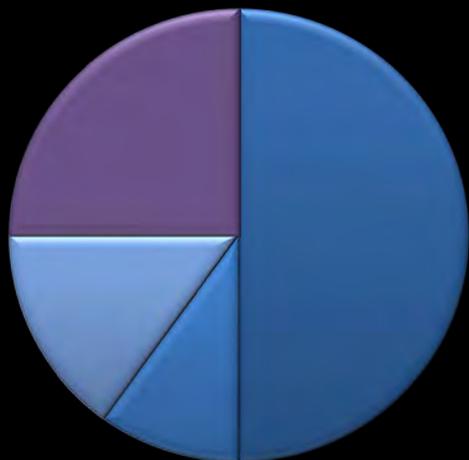
- National principles remain:
  - Maintain the national network
  - Preserve Sea Grant Model
- National actions in priority order
  1. Eliminate national programming (NSIs, Fellows, National Sea Grant Library, etc.)
  2. Reduce proportionally across the network
    1. Base in part on performance
    2. Adjust proportions where necessary to preserve network
  3. Discontinue programs when dollars are not sufficient
    1. Keep presence in each region
  4. Eliminate functions at remaining programs

# Sense of the Board

- ACII Subcommittee recommends the NSGAB pass a Sense of the Board resolution and forward the following allocation guidelines when faced with a significant budget perturbation:
  - Preserve the NSGCP national network and model
  - Take actions in the following priority order
    - Eliminate national programming
    - Reduce across the network
      - Base on performance
    - Eliminate programs, but maintain presence in region
    - Eliminate program functions

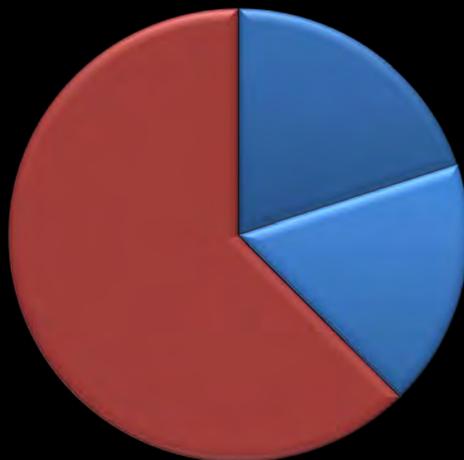
# What this means for Research

**Proposed  
State/National Split**



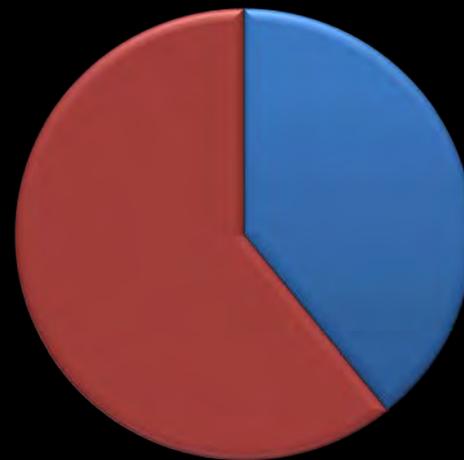
■ State Base    ■ Merit  
■ Regional Research    ■ National

**Proposed State  
Research/Non-research Split**



■ Regional Research    ■ State Research  
■ Non-Research

**Current State  
Research/Non-Research Split**



■ Research    ■ Non-research

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# National Sea Grant Strategic Plan

Draft



The most current version of the National Sea Grant  
Strategic Plan will be distributed at the Board Meeting  
and posted on the website.



National Sea Grant Advisory Board  
Procedures Manual (Updated Draft)



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## NATIONAL SEA GRANT ADVISORY BOARD Procedures Manual

### **Preamble**

The Advisory Board consists of 15 members appointed by the Secretary of Commerce. The process of selecting new members begins in part with approved proposals of the Advisory Board's Membership Committee being submitted to the National Sea Grant Program Director, National Sea Grant Office (NSGO).

The Director of the National Sea Grant College Program and a Director of a Sea Grant program who is elected by the various directors of Sea Grant Programs [usually the Sea Grant Association (SGA) President] serve as nonvoting members of the Advisory Board. The Board meets twice a year, a minimum requirement of the National Sea Grant College Program Act, as a full Advisory Board. The Board can meet in additional sessions as required and announced in the Federal Register. Members with various subcommittee assignments and responsibilities participate in activities through the year that do not require announcement in the Federal Register.

The Advisory Board's general responsibilities include advising the Secretary of Commerce, the National Oceanic and Atmospheric Administration (NOAA) Administrator, and the Director of the National Sea Grant College Program in reference to various aspects of the Program, in addition to conducting reviews and evaluations.

The Advisory Board takes an active role in the Sea Grant Community that includes the Sea Grant Association, and individual Sea Grant programs, by means of recommendations made to and assignments from the National Sea Grant Office. The Advisory Board may also participate in activities such as Sea Grant Week, Leadership Retreats, Focus Teams, the Assembly of Sea Grant Extension Program Leaders, the National Sea Grant Communications Network and other similar activities approved by the National Sea Grant Office.

As specified by Congressional authorization, Advisory Board members are to serve for a 4-year term, renewable for an additional 4 years. The Director may extend the term of office of a voting member of the Board once by up to 1 year.

At a minimum, Advisory Board members are expected to attend and participate in at least one full Advisory Board meeting per year. Barring extenuating circumstances, consideration will be given to requesting the resignation of any Advisory Board member who does not attend and participate in at least one full Advisory Board meeting per year.

Advisory Board members will follow the guidelines and requirements that are stipulated in the standard Conflict of Interest Statement that is signed by Advisory Board members, and any other guidelines and requirements that are based upon a statute, regulation or official agency policy that are required for FACA committees.

An Advisory Board member may not participate in a Performance Review Panel (PRP) of a state with which he/she has a conflict of interest. Advisory Board members who serve on an advisory or similar committee for an individual Sea Grant Program or a Consortium Sea Grant Program, or who are otherwise similarly associated, must resign from such committee or association prior to participation in a PRP or recuse him/herself from the review panel discussion of that state.

An Advisory Board member may not participate in, or be otherwise involved or associated with, or be a beneficiary of, financial or otherwise, a research project that involves Sea Grant funds. However, an Advisory Board member who, on the date on which the Advisory Board takes official action to adopt this provision, participates in, or is otherwise involved or associated with, or is a beneficiary of, financial or otherwise, a research project that involves Sea Grant funds, must discontinue such participation, involvement or association no later than one year from the date on which the Advisory Board takes official action to adopt this provision.

### **Advisory Board Internal Procedures**

#### **A. Officers**

The Advisory Board elects two officers, a Chair and a Vice-Chair (or Chair-elect). The Chair and Vice-Chair serve for a period of two years. The Chair also chairs the Executive Committee and represents the Advisory Board in making recommendations to the Executive Committee for actions by the Advisory Board when the full Advisory Board is not engaged. The Vice-Chair will act as the Chair and lead the Executive Committee if the Chair is not available for Board business. The Chair and Vice-Chair are elected by the body as a whole from a list submitted by the Nominating Committee.

#### **B. Standing Advisory Board Committees**

**Executive Committee** - The Executive Committee is to consist of 4 members, the Advisory Board Chair, Vice-Chair (Chair-elect), the most recent Past Chair, and a Member-at-Large from the Advisory Board. The terms of office on the Executive Committee membership shall be for two years in each position. The Advisory Board Chair may add additional members from the Advisory Board to the Executive Committee for one year appointments as circumstances require. The Member-at-Large reports monthly by email to the Advisory Board on all Executive Committee activities during that month.

Under no circumstances shall the Executive Committee or other committees vote on any issue, this power being the exclusive responsibility of the full Advisory Board. The Advisory Board may vote to authorize the Executive Committee to conduct assignments to represent the full Advisory Board (but not voting itself) as required.

It is recognized that conference calls severely restrict discussion of important matters and issues by large groups. Nonetheless, it is also noted that matters and issues sometimes must be voted on a critical time scale that would not allow a full Advisory Board meeting in person. The following rules and guidelines for Advisory Board conference calls are to be followed if such circumstances occur.

1. When such a topic must be decided by vote of the full Advisory Board on a conference call, an outline of the matter or issue(s) must be provided sufficiently in advance to the Advisory Board members by email, mail, or individually.

2. After appropriate procedures (FACA) are followed to make a conference call become an official Advisory Board meeting, the call will be conducted as though it were a normal Advisory Board meeting. The Chair shall conduct the meeting in a formal sense according to Roberts Rules to the extent possible. Any discussion by Advisory Board members shall be by request to and designation by the Chair. All Advisory Board members on the conference call will be asked individually by the Chair for comments or discussion, and all discussion shall be recorded or noted by a person acting as Secretary.

Nominating Committee: - Nominations for Advisory Board Officers are proposed to the full Advisory Board by a Nominating Committee consisting of the Advisory Board Chair and two members of the Advisory Board chosen as result of an Advisory Board voted motion. No member of the Nominating Committee may be considered for re-nomination unless any such member (including the current Chair) shall be recused from the Committee during such considerations. The Nominating Committee composes a proposed slate at some time other than during a full Advisory Board or Executive Committee meeting, and circulates the proposed slate in advance of the election of officers. The slate normally includes the current Chair-elect as incoming Chair. Election of the Advisory Board Chair, Vice-chair (Chair-elect), and member at large is usually conducted every two years at the Advisory Board's fall meeting, with the new officers beginning official duties on January 1 of the following year. The Vice Chair assumes the responsibilities of the Chair in the event of premature resignation or unavailability of the Chair.

Advisory Board Membership Committee - Periodically, as requested by the National Sea Grant Director, an Advisory Board Membership Committee is formed consisting of no less than three Advisory Board Members appointed by the Chair. The Advisory Board Membership Committee solicits nominations and reviews those nominations to determine if the qualifications of the nominees generally satisfy the legislative requirements for Advisory Board membership. Names of all qualified nominees from the Advisory Board Membership Committee are submitted by the Advisory Board to the Director of the NSGO for consideration.

Minority Serving Institution Committee - The Minority Serving Institution Committee reviews and makes recommendations to the Advisory Board concerning increasing the participation of Minority Serving Institutions within the Sea Grant program and within NOAA as a whole.

Topical Advisory Teams (TATs). A visit by a Topical Advisory Team can be requested by any party (within the Sea Grant Program), but because TAT visits are not mandatory, both the director of the host Sea Grant program and the Director of the NSGO must mutually agree to conduct a TAT visit.

Other Reviews. The Advisory Board can elect to review other elements of the Sea Grant program (e.g., extension, administration, communications, etc.).

Position Papers: The Advisory Board may request members to develop white papers or other positions as needed.

### C. Rules of Order

1. No meeting shall be held without a quorum. A quorum is the majority of members who can reasonably be expected to attend any given meeting.
2. Advisory Board decisions are normally made by consensus and where votes are necessary, the majority will govern.
3. For issues not specifically addressed in this document, Robert's Rules of Order shall be used.

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National Sea Grant Advisory Board  
Procedures Manual (Current)



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## NATIONAL SEA GRANT ADVISORY BOARD

### Procedures Manual

#### Preamble

The Advisory Board consists of 15 members appointed by the Secretary of Commerce. The process of selecting new members begins in part with approved proposals of the Advisory Board's Membership Committee being submitted to the National Sea Grant Program Director, National Sea Grant Office (NSGO).

The Director of the National Sea Grant College Program and a Director of a Sea Grant program who is elected by the various directors of Sea Grant Programs [usually the Sea Grant Association (SGA) President] serve as nonvoting members of the Advisory Board. The Board meets twice a year, a minimum requirement of the National Sea Grant College Program Act, as a full Advisory Board. The Board can meet in additional sessions as required and announced in the Federal Register. Members with various subcommittee assignments and responsibilities participate in activities through the year that do not require announcement in the Federal Register.

The Advisory Board's general responsibilities include advising the Secretary of Commerce, the National Oceanic and Atmospheric Administration (NOAA) Administrator, and the Director of the National Sea Grant College Program in reference to various aspects of the Program, in addition to conducting reviews and evaluations.

The Advisory Board takes an active role in the Sea Grant Community that includes the Sea Grant Association (SGA), and individual Sea Grant programs, by means of recommendations made to and assignments from the National Sea Grant Office (NSGO). The Advisory Board may also participate in activities such as Sea Grant Week, Leadership Retreats, Focus Teams, the Assembly of Sea Grant Extension Program Leaders, the National Sea Grant

Communications Network and other similar activities approved by the National Sea Grant Office.

As specified by Congressional authorization, Advisory Board members are to serve for a 4-year term, renewable for an additional 4 years. The Director may extend the term of office of a voting member of the Board once by up to 1 year.

At a minimum, Advisory Board members are expected to attend and participate in at least one full Advisory Board meeting per year. Barring extenuating circumstances, consideration will be given to requesting the resignation of any Advisory Board member who does not attend and participate in at least one full Advisory Board meeting per year

Advisory Board members will follow the guidelines and requirements that are stipulated in the standard Conflict of Interest Statement that is signed by Advisory Board members, and any other guidelines and requirements that are based upon a statute, regulation or official agency policy that are required for FACA committees.

An Advisory Board member may not participate in a Performance Review Panel (PRP) if such Advisory Board member serves on an advisory or similar committee that is associated with an individual Sea Grant Program or a Consortium Sea Grant Program. Advisory Board members who serve on an advisory or similar committee for an individual Sea Grant Program or a Consortium Sea Grant Program, or who are otherwise similarly associated, must resign from such committee or association prior to participation in a PRP.

An Advisory Board member may not participate in, or be otherwise involved or associated with, or be a beneficiary of, financial or otherwise, a research project that involves Sea Grant funds. However, an Advisory Board member who, on the date on which the Advisory Board takes official action to adopt this provision, participates in, or is otherwise involved or associated with, or is a beneficiary of, financial or otherwise, a research project that involves Sea Grant funds, must discontinue such participation, involvement or

association no later than one year from the date on which the Advisory Board takes official action to adopt this provision.

## **Advisory Board Internal Procedures**

### **A. Officers**

The Advisory Board elects two officers, a Chair and a Vice-Chair (or Chair-elect). The Chair and Vice-Chair serve for a period of two years. The Chair also chairs the Executive Committee and represents the Advisory Board in making recommendations to the Executive Committee for actions by the Advisory Board when the full Advisory Board is not engaged. The Chair and Vice-Chair are elected by the body as a whole from a list submitted by the Nominating Committee.

### **B. Standing Advisory Board Committees**

Executive Committee - The Executive Committee is to consist of 4 members, the Advisory Board Chair, Vice-Chair (Chair-elect), the most recent Past Chair, and a Member-at-Large from the Advisory Board. The terms of office on the Executive Committee membership shall be for two years in each position. The Advisory Board Chair may add additional members from the Advisory Board to the Executive Committee for one year appointments as circumstances require. The Member-at-Large reports monthly by email to the Advisory Board on all Executive Committee activities during that month.

Under no circumstances shall the Executive Committee or other committees vote on any issue, this power being the exclusive responsibility of the full Advisory Board. The Advisory Board may vote to Authorize the Executive Committee to conduct assignments to represent the full Advisory Board (but not voting itself) as required.

It is recognized that conference calls severely restrict discussion of important matters and issues by large groups. Nonetheless, it is also noted that matters and issues sometimes must be voted on a critical time scale that would not allow a full Advisory Board meeting in person. The following rules and guidelines for Advisory Board conference calls are to

be followed if such circumstances occur.

1. When such a topic must be decided by vote of the full Advisory Board on a conference call, an outline of the matter or issue(s) must be provided sufficiently in advance to the Advisory Board members by email, mail, or individually.
2. After appropriate procedures (FOIA) are followed to make a conference call become an official Advisory Board meeting, the call will be conducted as though it were a normal Advisory Board meeting. The Chair shall conduct the meeting in a formal sense according to Roberts Rules to the extent possible. Any discussion by Advisory Board members shall be by request to and designation by the Chair. All Advisory Board members on the conference call will be asked individually by the Chair for comments or discussion, and all discussion shall be recorded or noted by a person acting as Secretary.

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## Sea Grant Reauthorization Planning

[Sea Grant Reauthorization 2009-2014](#)

[2007 Reauthorization Report](#)

[2009-2014 Reauthorization Overview](#)

[2009 Reauthorization Charge to Board](#)



## **Sea Grant Authorizing Legislation, as amended by the National Sea Grant College Program Amendments Act of 2008 (Public Law No: 110-394)**

- § 1121. Congressional declaration of policy
- § 1122. Definitions [Caution: See prospective amendment note below.]
- § 1123. National sea grant college program
- § 1124. Program or project grants and contracts
- § 1126. Sea grant colleges and sea grant institutes
- § 1127. Fellowships
- § 1128. National Sea Grant Advisory Board
- § 1129. Interagency cooperation
- § 1131. Authorization of appropriations

**§ 1121. Congressional declaration of policy**

(a) Findings. The Congress finds and declares the following:

- (1) The national interest requires a strategy to—
  - (A) provide for the understanding and wise use of ocean, coastal, and Great Lakes resources and the environment;
  - (B) foster economic competitiveness;
  - (C) promote public stewardship and wise economic development of the coastal ocean and its margins, the Great Lakes, and the exclusive economic zone;
  - (D) encourage the development of preparation, forecast, analysis, mitigation, response, and recovery systems for coastal hazards;
  - (E) understand global environmental processes and their impacts of ocean, coastal, and Great Lakes resources; and
  - (F) promote domestic and international cooperative solutions to ocean, coastal, and Great Lakes issues.
- (2) Investment in a strong program of integrated research, education, extension, training, technology transfer, and public service is essential for this strategy.
- (3) The expanding use and development of ocean, coastal, and Great Lakes resources resulting from growing coastal area populations and the increasing pressures on the coastal and Great Lakes environment challenge the ability of the United States to manage such resources wisely.
- (4) The vitality of the Nation and the quality of life of its citizens depend increasingly on the understanding, assessment, development, management, utilization, and conservation of ocean, coastal, and Great Lakes resources. These resources supply food, energy, and minerals and contribute to human health, the quality of the environment, national security, and the enhancement of commerce.
- (5) The understanding, assessment, development, management, utilization, and conservation of such resources require a broad commitment and an intense involvement on the part of the Federal Government in continuing partnership with State and local governments, private industry, universities, organizations, and individuals concerned with or affected by ocean, coastal, and Great Lakes resources.
- (6) The National Oceanic and Atmospheric Administration, through the national sea grant college program, offers the most suitable locus and means for such commitment and engagement through the promotion of activities that will result

in greater such understanding, assessment, development, management, utilization, and conservation of ocean, coastal, and Great Lakes resources. The most cost-effective way to promote such activities is through continued and increased Federal support of the establishment, development, and operation of programs and projects by sea grant colleges, sea grant institutes, and other institutions, including strong collaborations between Administration scientists and research and outreach personnel at academic institutions.

- (b) Objective. The objective of this title [33 USCS §§ 1121 et seq.] is to increase the understanding, assessment, development, management, utilization, and conservation of the Nation’s ocean, coastal, and Great Lakes resources by providing assistance to promote a strong educational base, responsive research and training activities, broad and prompt dissemination of knowledge and techniques, and multidisciplinary approaches to environmental problems.
- (c) Purpose. It is the purpose of the Congress to achieve the objective of this title [33 USCS §§ 1121 et seq.] by extending and strengthening the national sea grant program, initially established in 1966, to promote integrated research, education, training, and extension services and activities in fields related to ocean, coastal, and Great Lakes resources.

**§ 1122. Definitions [Caution: See prospective amendment note below.]**

As used in this title [33 USCS §§ 1121 et seq.]—

- (1) The term “Administration” means the National Oceanic and Atmospheric Administration.
- (2) The term “Director” means the Director of the national sea grant college program, appointed pursuant to section 204(b) [33 USCS § 1123(b)].
- (3) [The] the term “director of a sea grant college” means a person designated by his or her institution to direct a sea grant college or sea grant institute.
- (4) The term “field related to ocean, coastal, and Great Lakes resources” means any discipline or field, including marine affairs, resource management, technology, education, or science, which is concerned with or likely to improve the understanding, assessment, development, management, utilization, or conservation of ocean, coastal, or Great Lakes resources.
- (5) The term “institution” means any public or private institution of higher education, institute, laboratory, or State or local agency.
- (6) The term “includes” and variants thereof should be read as if the phrase “but is not limited to” were also set forth.

- (7) The term “ocean, coastal, and Great Lakes resources” means the resources that are located in, derived from, or traceable to, the seabed, subsoil, and waters of—
- (A) the coastal zone, as defined in section 304(1) of the Coastal Zone Management Act (16 U.S.C. 1453(1));
  - (B) the Great Lakes;
  - (C) Lake Champlain (to the extent that such resources have hydrological, biological, physical, or geological characteristics and problems similar or related to those of the Great Lakes);
  - (D) the territorial sea;
  - (E) the exclusive economic zone;
  - (F) the Outer Continental Shelf;
  - (G) the high seas.
- (8) The term “resource” means—
- (A) living resources (including natural and cultured plant life, fish, shellfish, marine mammals, and wildlife);
  - (B) nonliving resources (including energy sources, minerals, and chemical substances);
  - (C) the habitat of a living resource, the coastal space, the ecosystems, the nutrient-rich areas, and the other components of the marine environment that contribute to or provide (or which are capable of contributing to or providing) recreational, scenic, esthetic, biological, habitational, commercial, economic, or conservation values; and
  - (D) man-made, tangible, intangible, actual, or potential resources.
- (9) The term “Board” means the National Sea Grant Advisory Board established under section 209..
- (10) The term “person” means any individual; any public or private corporation, partnership, or other association or entity (including any sea grant college, sea grant institute or other institution); or any State, political subdivision of a State, or agency or officer thereof.
- (11) The term “project” means any individually described activity in a field related to ocean, coastal, and Great Lakes resources involving research, education,

training, or extension services administered by a person with expertise in such a field.

- (12) The term “sea grant college” means any institution, or any association or alliance of two or more such institutions, designated as such by the Secretary under section 207 of this Act.
- (13) The term “sea grant institute” means any institution, or any association or alliance of two or more such institutions, designated as such by the Secretary under section 207 of this Act.
- (14) The term “sea grant program” means a program of research and outreach which is administered by one or more sea grant colleges or sea grant institutes.
- (15) The term “Secretary” means the Secretary of Commerce, acting through the Under Secretary of Commerce for Oceans and Atmosphere.
- (16) The term “State” means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Mariana Islands, or any other territory or possession of the United States.

### **§ 1123. National sea grant college program**

- (a) Program maintenance. The Secretary shall maintain within the Administration a program to be known as the national sea grant college program. The national sea grant college program shall be administered by a national sea grant office within the Administration.
- (b) Program elements. The national sea grant college program shall consist of the financial assistance and other activities authorized in this title [33 USCS §§ 1121 et seq.], and shall provide support for the following elements—
  - (1) sea grant programs that comprise a national sea grant college program network, including international projects conducted within such programs and regional and national projects conducted among such programs;
  - (2) administration of the national sea grant college program and this title by the national sea grant office and the Administration;
  - (3) the fellowship program under section 208 [33 USCS § 1127]; and

- (4) any regional or national strategic investments in fields relating to ocean, coastal, and Great Lakes resources developed in consultation with the Board and with the approval of the sea grant colleges and the sea grant institutes.

(c) Responsibilities of the Secretary.

- (1) The Secretary, in consultation with the Board, sea grant colleges, and sea grant institutes, shall develop at least every 4 years a strategic plan that establishes priorities for the national sea grant college program, provides an appropriately balanced response to local, regional, and national needs, and is reflective of integration with the relevant portions of the strategic plans of the Department of Commerce and of the Administration.
- (2) The Secretary, in consultation with the Board, sea grant colleges, and sea grant institutes, shall establish guidelines related to the activities and responsibilities of sea grant colleges and sea grant institutes. Such guidelines shall include requirements for the conduct of merit review by the sea grant colleges and sea grant institutes of proposals for grants and contracts to be awarded under section 205 [33 USCS § 1124], providing, at a minimum, for standardized documentation of such proposals and peer review of all research projects.
- (3) The Secretary shall by regulation prescribe the qualifications required for designation of sea grant colleges and sea grant institutes under section 207 [33 USCS § 1126].
- (4) To carry out the provisions of this title [33 USCS §§ 1121 et seq.], the Secretary may—
  - (A) appoint, assign the duties, transfer, and fix the compensation of such personnel as may be necessary, in accordance with civil service laws;
  - (B) make appointments with respect to temporary and intermittent services to the extent authorized by section 3109 of title 5, United States Code;
  - (C) publish or arrange for the publication of, and otherwise disseminate, in cooperation with other offices and programs in the Administration and without regard to section 501 of title 44, United States Code, any information of research, educational, training or other value in fields related to ocean, coastal, or Great Lakes resources;
  - (D) enter into contracts, cooperative agreements, and other transactions without regard to section 5 of title 41, United States Code;

- (E) notwithstanding section 1342 of title 31, United States Code, accept donations and voluntary and uncompensated services;
- (F) accept funds from other Federal departments and agencies, including agencies within the Administration, to pay for and add to grants made and contracts entered into by the Secretary; and
- (G) promulgate such rules and regulations as may be necessary and appropriate.

(d) Director of the National Sea Grant College Program.

- (1) The Secretary shall appoint, as the Director of the National Sea Grant College Program, a qualified individual who has appropriate administrative experience and knowledge or expertise in fields related to ocean, coastal, and Great Lakes resources. The Director shall be appointed and compensated, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service, at a rate payable under section 5376 of title 5, United States Code.
- (2) Subject to the supervision of the Secretary, the Director shall administer the national sea grant college program and oversee the operation of the national sea grant office. In addition to any other duty prescribed by law or assigned by the Secretary, the Director shall--
  - (A) facilitate and coordinate the development of a strategic plan under subsection (c)(1);
  - (B) advise the Secretary with respect to the expertise and capabilities which are available within or through the national sea grant college program and encourage the use of such expertise and capabilities, on a cooperative or other basis, by other offices and activities within the Administration, and other Federal departments and agencies;
  - (C) advise the Secretary on the designation of sea grant colleges and sea grant institutes, and, if appropriate, on the termination or suspension of any such designation; and
  - (D) encourage the establishment and growth of sea grant programs, and cooperation and coordination with other Federal activities in fields related to ocean, coastal, and Great Lakes resources.
- (3) With respect to sea grant colleges and sea grant institutes, the Director shall--

(A) evaluate and assess the performance of the programs of sea grant colleges and sea grant institutes, using the priorities, guidelines, and qualifications established by the Secretary under subsection (c), and determine which of the programs are the best managed and carry out the highest quality research, education, extension, and training activities;

(B) subject to the availability of appropriations, allocate funding among sea grant colleges and sea grant institutes so as to--

- (i) promote healthy competition among sea grant colleges and institutes;
- (ii) encourage collaborations among sea grant colleges and sea grant institutes to address regional and national priorities established under subsection (c)(1);
- (iii) ensure successful implementation of sea grant programs;
- (iv) to the maximum extent consistent with other provisions of this Act, provide a stable base of funding for sea grant colleges and institutes;
- (v) encourage and promote coordination and cooperation between the research, education, and outreach programs of the Administration and those of academic institutions; and
- (vi) encourage cooperation with Minority Serving Institutions to enhance collaborative research opportunities and increase the number of such students graduating in NOAA science areas; and ensure compliance with the guidelines for merit review under subsection (c)(2).

**§ 1124. Program or project grants and contracts**

(a) Authorization; purposes; limitation on amount. The Secretary may make grants and enter into contracts under this subsection to assist any sea grant program or project if the Secretary finds that such program or project will--

- (1) implement the objective set forth in section 202(b) [33 USCS § 1121(b)]; and
- (2) be responsive to the needs or problems of individual States or regions. The total amount paid pursuant to any such grant or contract may equal  $66 \frac{2}{3}$  percent, or any lesser percent, of the total cost of the sea grant program or project involved; except that this limitation shall not apply in the case of grants or contracts paid for with funds accepted by the Secretary under section 204(c)(4)(F) or that are appropriated under section 208(b).

- (b) Special grants; maximum amount; prerequisites. The Secretary may make special grants under this subsection to implement the objective set forth in section 202(b) [33 USCS § 1121(b)]. The amount of any such grant may equal 100 percent, or any lesser percent, of the total cost of the project involved. No grant may be made under this subsection unless the Secretary finds that--
- (1) no reasonable means is available through which the applicant can meet the matching requirement for a grant under subsection (a);
  - (2) the probable benefit of such project outweighs the public interest in such matching requirement; and
  - (3) the same or equivalent benefit cannot be obtained through the award of a contract or grant under subsection (a). The total amount that may be provided for grants under this subsection during any fiscal year shall not exceed an amount equal to 5 percent of the total funds appropriated for such year under section 212 [33 USCS § 1131].
- (c) Eligibility and procedure. Any person may apply to the Secretary for a grant or contract under this section. Application shall be made in such form and manner, and with such content and other submissions, as the Secretary shall by regulation prescribe. The Secretary shall act upon each such application within 6 months after the date on which all required information is received.
- (d) Terms and conditions.
- (1) Any grant made, or contract entered into, under this section shall be subject to the limitations and provisions set forth in paragraphs (2), (3), and (4) and to such other terms, conditions, and requirements as the Secretary deems necessary or appropriate. Terms, conditions, and requirements imposed by the Secretary under this paragraph shall minimize any requirement of prior Federal approval.
  - (2) No payment under any grant or contract under this section may be applied to--
    - (A) the purchase or rental of any land; or
    - (B) the purchase, rental, construction, preservation, or repair of any building, dock, or vessel; except that payment under any such grant or contract may be applied to the short-term rental of buildings or facilities for meetings which are in direct support of any sea grant program or project and may, if approved by the Secretary, be applied to the purchase, rental, construction, preservation, or repair of non-self-propelled habitats, buoys, platforms, and other similar devices or structures, or to the rental

of any research vessel which is used in direct support of activities under any sea grant program or project.

- (3) The total amount which may be obligated for payment pursuant to grants made to, and contracts entered into with, persons under this section within any one State in any fiscal year shall not exceed an amount equal to 15 percent of the total funds appropriated for such year pursuant to section 212 [33 USCS § 1131].
- (4) Any person who receives or utilizes any proceeds of any grant or contract under this section shall keep such records as the Secretary shall by regulation prescribe as being necessary and appropriate to facilitate effective audit and evaluation, including records which fully disclose the amount and disposition by such recipient of such proceeds, the total cost of the program or project in connection with which such proceeds were used, and the amount, if any, of such cost which was provided through other sources. Such records shall be maintained for 3 years after the completion of such a program or project. The Secretary and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and evaluation, to any books, documents, papers, and records of receipts which, in the opinion of the Secretary or of the Comptroller General, may be related or pertinent to such grants and contracts.

**§ 1126. Sea grant colleges and sea grant institutes**

(a) Designation.

- (1) A sea grant college or sea grant institute shall meet the following qualifications--
  - (A) have an existing broad base of competence in fields related to ocean, coastal, and Great Lakes resources;
  - (B) make a long-term commitment to the objective in section 202(b) [33 USCS § 1121(b)], as determined by the Secretary;
  - (C) cooperate with other sea grant colleges and institutes and other persons to solve problems or meet needs relating to ocean, coastal, and Great Lakes resources;
  - (D) have received financial assistance under section 205 of this title (33 U.S.C. 1124);

- (E) be recognized for excellence in fields related to ocean, coastal, and Great Lakes resources (including marine resources management and science), as determined by the Secretary; and
  - (F) meet such other qualifications as the Secretary, in consultation with the Board, considers necessary or appropriate.
- (2) The Secretary may designate an institution, or an association or alliance of two or more such institutions, as a sea grant college if the institution, association, or alliance--
- (A) meets the qualifications in paragraph (1); and
  - (B) maintains a program of research, extension services, training, and education in fields related to ocean, coastal, and Great Lakes resources.
- (3) The Secretary may designate an institution, or an association or alliance of two or more such institutions, as a sea grant institute if the institution, association, or alliance--
- (A) meets the qualifications in paragraph (1); and
  - (B) maintains a program which includes, at a minimum, research and extension services.
- (b) Existing designees. Any institution, or association or alliance of two or more such institutions, designated as a sea grant college or awarded institutional program status by the Director prior to the date of enactment of the National Sea Grant College Program Reauthorization Act of 1998 [enacted March 6, 1998], shall not have to reapply for designation as a sea grant college or sea grant institute, respectively, after the date of enactment of the National Sea Grant College Program Reauthorization Act of 1998 [enacted March 6, 1998], if the Director determines that the institution, or association or alliance of institutions, meets the qualifications in subsection (a).
- (c) Suspension or termination of designation. The Secretary may, for cause and after an opportunity for hearing, suspend or terminate any designation under subsection (a).
- (d) Duties. Subject to any regulations prescribed or guidelines established by the Secretary, it shall be the responsibility of each sea grant college and sea grant institute--
- (1) to develop and implement, in consultation with the Secretary and the Board, a program that is consistent with the guidelines and priorities established under section 204(c) [33 USCS § 1123(c)]; and

(2) to conduct a merit review of all proposals for grants and contracts to be awarded under section 205 [33 USCS § 1124].

(e) Annual report on progress.

(1) Report requirement. The Secretary shall report annually to the Committee on Resources and the Committee on Science of the House of Representatives, and to the Committee on Commerce, Science, and Transportation of the Senate, on efforts and progress made by colleges, universities, institutions, associations, and alliances to become designated under this section as sea grant colleges or sea grant institutes, including efforts and progress made by sea grant institutes in being designated as sea grant colleges.

(2) Territories and freely associated States. The report shall include description of--

(A) efforts made by colleges, universities, associations, institutions, and alliances in United States territories and freely associated States to develop the expertise necessary to be designated as a sea grant institute or sea grant college;

(B) the administrative, technical, and financial assistance provided by the Secretary to those entities seeking to be designated; and

(C) the additional actions or activities necessary for those entities to meet the qualifications for such designation under subsection (a)(1).

### **§ 1127. Fellowships**

(a) In general. To carry out the educational and training objectives of this Act, the Secretary shall support a program of fellowships for qualified individuals at the graduate and postgraduate level. The fellowships shall be related to ocean, coastal, and Great Lakes resources and awarded pursuant to guidelines established by the Secretary. The Secretary shall strive to ensure equal access for minority and economically disadvantaged students to the program carried out under this subsection. Every 2 years, the Secretary shall submit a report to the Congress describing the efforts by the Secretary to ensure equal access for minority and economically disadvantaged students to the program carried out under this subsection, and the results of such efforts.

(b) Dean John A. Knauss Marine Policy Fellowship. The Secretary may award marine policy fellowships to support the placement of individuals at the graduate level of education in fields related to ocean, coastal and Great Lakes resources in positions with the executive

and legislative branches of the United States Government. A fellowship awarded under this subsection shall be for a period of not more than 1 year.

- (c) **Restriction on Use of Funds:** Amounts available for fellowships under this section, including amounts accepted under section 204(c)(4)(F) or appropriated under section 212 to implement this section, shall be used only for award of such fellowships and administrative costs of implementing this section.

### **§ 1128. National Sea Grant Advisory Board**

- (a) **Establishment.**- There shall be an independent committee to be known as the National Sea Grant Advisory Board.

- (b) **Duties.**

- (1) **In general.** - The Board shall advise the Secretary and the Director concerning—

(A) strategies for utilizing the sea grant college program to address the Nation's highest priorities regarding the understanding, assessment, development, management, utilization, and conservation of ocean, coastal, and Great Lakes resources;

(B) the designation of sea grant colleges and sea grant institutes; and

(C) such other matters as the Secretary refers to the Board for review and advice.

- (2) **Biennial Report.**- The Board shall report to the Congress every two years on the state of the national sea grant college program. The Board shall indicate in each such report the progress made toward meeting the priorities identified in the strategic plan in effect under section 204 (c). The Secretary shall make available to the Board such information, personnel, and administrative services and assistance as it may reasonably require to carry out its duties under this title. The Secretary shall make available to the Board such information, personnel, and administrative services and assistance as it may reasonably require to carry out its duties.

- (c) **Membership, terms, and powers.**

- (1) The Board shall consist of 15 voting members who shall be appointed by the Secretary. The Director and a director of a sea grant program who is elected by the various directors of sea grant programs shall serve as nonvoting members of the Board. Not less than 8 of the voting members of the Board shall be individuals

who, by reason of knowledge, experience, or training, are especially qualified in one or more of the disciplines and fields included in marine science. The other voting members shall be individuals who, by reason of knowledge, experience, or training, are especially qualified in, or representative of, education, marine affairs and resource management, coastal management, extension services, State government, industry, economics, planning, or any other activity which is appropriate to, and important for, any effort to enhance the understanding, assessment, development, management, utilization, or conservation of ocean, coastal, and Great Lakes resources. No individual is eligible to be a voting member of the Board if the individual is (A) the director of a sea grant college or sea grant institute; (B) an applicant for, or beneficiary (as determined by the Secretary) of, any grant or contract under section 205 [33 USCS § 1124]; or (C) a full-time officer or employee of the United States.

- (2) The term of office of a voting member of the Board shall be 3 years for a member appointed before the date of enactment of the National Sea Grant College Program Act Amendments of 2002 [enacted Nov. 26, 2002], and 4 years for a member appointed or reappointed after the date of enactment of the National Sea Grant College Program Act Amendments of 2002 [enacted Nov. 26, 2002]. The Director may extend the term of office of a voting member of the Board appointed before the date of enactment of the National Sea Grant College Program Act Amendments of 2002 [enacted Nov. 26, 2002] by up to 1 year. At least once each year, the Secretary shall publish a notice in the Federal Register soliciting nominations for membership on the Board.
- (3) Any individual appointed to a partial or full term may be reappointed for one additional full term. The Director may extend the term of office of a voting member of the Board once by up to 1 year.
- (4) The Board shall select one voting member to serve as the Chairman and another voting member to serve as the Vice Chairman. The Vice Chairman shall act as Chairman in the absence or incapacity of the Chairman.
- (5) Voting members of the Board shall--
  - (A) receive compensation at a rate established by the Secretary, not to exceed the maximum daily rate payable under section 5376 of title 5, United States Code, when actually engaged in the performance of duties for such Board; and
  - (B) be reimbursed for actual and reasonable expenses incurred in the performance of such duties.

- (6) The Board shall meet on a biannual basis and, at any other time, at the call of the Chairman or upon the request of a majority of the voting members or of the Director.
- (7) The Board may exercise such powers as are reasonably necessary in order to carry out its duties under subsection (b).
- (8) The Board may establish such subcommittees as are reasonably necessary to carry out its duties under subsection (b). Such subcommittees may include individuals who are not Board members.

### **§ 1129. Interagency cooperation**

Each department, agency, or other instrumentality of the Federal Government which is engaged in or concerned with, or which has authority over, matters relating to ocean, coastal, and Great Lakes resources--

- (1) may, upon a written request from the Secretary, make available, on a reimbursable basis or otherwise any personnel (with their consent and without prejudice to their position and rating), service, or facility which the Secretary deems necessary to carry out any provision of this title [33 USCS §§ 1121 et seq.];
- (2) shall, upon a written request from the Secretary, furnish any available data or other information which the Secretary deems necessary to carry out any provision of this title [33 USCS §§ 1121 et seq.]; and
- (3) shall cooperate with the Administration and duly authorized officials thereof.

### **§ 1131. Authorization of appropriations**

(a) Authorization.

- (1) In general. There are authorized to be appropriated to the Secretary to carry out this title [33 USCS §§ 1121 et seq.]--
  - (A) \$ 72,000,000 for fiscal year 2009;
  - (B) \$ 75,600,000 for fiscal year 2010;
  - (C) \$ 79,380,000 for fiscal year 2011;
  - (D) \$ 83,350,000 for fiscal year 2012;

(E) \$ 87,520,000 for fiscal year 2013; and

(F) \$ 91,900,000 for fiscal year 2014.

(2) Priority activities. In addition to the amounts authorized under paragraph (1), there are authorized to be appropriated for each of fiscal years 2009 through 2014--

(A) \$ 5,000,000 for competitive grants for university research on the biology, prevention, and control of aquatic nonnative species;

(B) \$ 5,000,000 for competitive grants for university research on oyster diseases, oyster restoration, and oyster-related human health risks;

(C) \$ 5,000,000 for competitive grants for university research on the biology, prevention, and forecasting of harmful algal blooms; and

(D) \$ 3,000,000 for competitive grants for fishery extension activities conducted by sea grant colleges or sea grant institutes to enhance, and not supplant, existing core program funding.

(b) Limitations.

(1) Administration. There may not be used for administration of programs under this title [33 USCS §§ 1121 et seq.] in a fiscal year more than 5 percent of the lesser of--

(A) the amount authorized to be appropriated under this title [33 USCS §§ 1121 et seq.] for the fiscal year; or

(B) the amount appropriated under this title [33 USCS §§ 1121 et seq.] for the fiscal year.

(2) Use for other offices or programs. Sums appropriated under the authority of subsection (a)(2) shall not be available for administration of this title [33 USCS §§ 1121 et seq.] by the National Sea Grant Office, for any other Administration or department program, or for any other administrative expenses.

(c) Distribution of funds. In any fiscal year in which the appropriations made under subsection (a)(1) exceed the amounts appropriated for fiscal year 2003 for the purposes described in such subsection, the Secretary shall distribute any excess amounts (except amounts used for the administration of the sea grant program) to any combination of the following:

(1) sea grant programs, according to their performance assessments;

- (2) regional or national strategic investments authorized under section 204(b)(4) [33 USCS § 1123(b)(4)];
  - (3) a college, university, institution, association, or alliance for activities that are necessary for it to be designated as a sea grant college or sea grant institute; and
  - (4) a sea grant college or sea grant institute designated after the date of enactment of the National Sea Grant College Program Act Amendments of 2002 [enacted Nov. 26, 2002] but not yet evaluated under section 204(d)(3)(A) [33 USCS § 1123(d)(3)(A)].
- (d) Availability of sums. Sums appropriated pursuant to this section shall remain available until expended.
- (e) Reversion of unobligated amounts. The amount of any grant, or portion of a grant, made to a person under any section of this Act that is not obligated by that person during the first fiscal year for which it was authorized to be obligated or during the next fiscal year thereafter shall revert to the Secretary. The Secretary shall add that reverted amount to the funds available for grants under the section for which the reverted amount was originally made available.

**Report of the National Sea Grant Review Panel  
on the 2008 Reauthorization of the National Sea Grant College Program**

presented to

**Vice Admiral Conrad C. Lautenbacher, Jr., Ph.D.**

Undersecretary of Commerce for Oceans and Atmosphere  
Administrator of the National Oceanic and Atmospheric Administration

**Richard W. Spinrad, Ph.D.**

Assistant Administrator for the Office of Oceanic and Atmospheric Research  
National Oceanic and Atmospheric Administration

and to

**Leon M. Cammen, Ph.D.**

Director of the National Sea Grant College Program  
National Oceanic and Atmospheric Administration

on

Friday  
**July 20, 2007**

## **BACKGROUND INFORMATION**

33 U. S. C. 1121 et. seq. establishes the National Sea Grant Review Panel (Panel) through the Federal Advisory Committee Act (FACA). The Act assigns the Panel with the responsibility to consult with and advise the Secretary of Commerce (DOC), the Undersecretary of Commerce for Oceans and Atmosphere (NOAA), and the Director of the National Sea Grant College Program (NSGCP) on program performance, administration, designation, operations and such other matters as the Secretary refers to the Panel for review and advice.

Congressional authorization for the National Sea Grant College Program expires in 2008. Beginning in 2006, the Panel formed a committee to gather information and formulate language for an updated authorization bill. The Reauthorization Committee (with oversight by the Panel's Executive Committee), was charged with soliciting concerns and positions addressing reauthorization; formulating a position on issues and recommendations for the 2008 Reauthorization; and, preparing a proposal for the full Panel's consideration.

The Reauthorization Committee conversed with congressional staff; executive branch officials; leadership of NSGCP; leadership of the Sea Grant Association (SGA); and, the Panel's membership to identify issues related to the program and changes that could add capacity and greater effectiveness to what already is a dynamic and highly relevant research, education and extension program that addresses the nation's critical marine and coastal issues. These activities were followed by a sequence of interactions among the Committee, the Panel, the SGA and the NSGO.

The Panel met on Monday, July 16, 2007, by teleconference to consider a Draft Report of the Panel's Reauthorization Committee regarding the advice that the Panel will provide to NOAA during the development of the Administration's Reauthorization Bill. The Panel acted on the Committee's Draft Report on July 16, 2007, and what follows is a Panel-approved set of recommendations titled, **“Report of the National Sea Grant Review Panel on the 2008 Reauthorization of the National Sea Grant College Program (Statements of Issues, Recommendations and Rationale)”**.

We are pleased to share our advice on the 2008 Reauthorization of the National Sea Grant College Program with Vice Admiral Conrad C. Lautenbacher, NOAA Administrator; Dr. Richard W. Spinrad, Assistant Administrator for the NOAA Office of Oceanic and Atmospheric Research; Dr. Leon Cammen, Director of the National Sea Grant College Program; and with other Administration officials. We trust that these recommendations will be helpful and will add value to this process as the Administration's Bill is developed.

## **EXECUTIVE SUMMARY**

(Recommendations at a Glance)

The National Sea Grant Review Panel (Panel) is pleased to present its summarized recommendations for the 2008 Reauthorization Bill. The Panel's full report follows.

### **RECOMMENDATIONS**

- That the Authorization/Appropriation levels for the National Sea Grant College Program be requested as follows:
 

A. 100,000,000 for fiscal year 2009	B. 105,000,000 for fiscal year 2010
C. 110,000,000 for fiscal year 2011	D. 115,000,000 for fiscal year 2012
E. 120,000,000 for fiscal year 2013	F. 125,000,000 for fiscal year 2014
- That the title of the Panel be changed from National Sea Grant Review Panel to “National Sea Grant Advisory Board.”
- That the Panel's role be amended to include the following new provisions:
  - That the Panel advises on a fair and cost-effective program assessment and evaluation protocol.
  - That the Panel participates in the program assessment and evaluation processes for the Sea Grant Program.
  - That the Panel reports to the Congress every two years on the state of the National Sea Grant College Program and shall indicate the progress made towards meeting the priorities identified in the National Sea Grant Strategic Plan.
- That the Panel's membership current 4-year term, with eligibility for reappointment, be maintained.
- That a provision be inserted in the Reauthorization Bill that allows the Panel the ability to include non-panel members via the establishment of subcommittees, for developing advice and exercising and carrying out Panel duties.
- That the National Sea Grant Office (NSGO) administrative cap be increased to 7%.
- That an enabling non-match provision be added to the NSGO authority and ability to promote and encourage planning and implementation collaboration among clusters of Sea Grant Programs and strategic partners and stakeholders.
- That the NSGO be authorized to promote and encourage collaboration, technical expertise, and information and technology exchange with other nations, as long as scarce program dollars and essential NSGO staff allocated to address critical domestic issues not be diverted to international programming.

- That the provision in the current legislation that requires the NSGO to rank programs based on their relative performance be removed due to the disincentive for programs to work cooperatively and form partnerships.
- That the percentage of funds that can be awarded without match be increased from 1% to 5%, and that all Sea Grant Knauss Fellowship awards be exempted from the matching requirement.

**Report of the National Sea Grant Review Panel**  
on the  
2008 Reauthorization of the National Sea Grant College Program  
Statements of Issues, Recommendations and Rationale

1. **Budget Authorization/Appropriation**

Panel's Recommendation: The Panel recommends and supports the following authorization and appropriation levels and asks that the NOAA budget request for the National Sea Grant College Program be made accordingly:

- A. 100,000,000 for fiscal year 2009
- B. 105,000,000 for fiscal year 2010
- C. 110,000,000 for fiscal year 2011
- D. 115,000,000 for fiscal year 2012
- E. 120,000,000 for fiscal year 2013
- F. 125,000,000 for fiscal year 2014

Rationale: The demonstrated effectiveness of the National Sea Grant College Program in addressing the nation's critical marine and coastal issues merits growing investment. Further, the scope of issues and the relevance of the issues to our economic progress, national stature and personal health are becoming more evident as reflected in the reports of the Pew Oceans Commission and the U. S. Commission on Ocean Policy.

2. **Panel's Title**

Current Title: National Sea Grant Review Panel  
Panel's Recommendation: **National Sea Grant Advisory Board**

Rationale: The Panel believes that "Advisory Board" is a more appropriate title as opposed to "Review Panel." The term "Panel" implies a more limited, ad hoc and less in-depth familiarity with the National Sea Grant College Program (NSGCP). Additionally, the proposed title, "National Sea Grant Advisory Board," reflects a broader and on-going responsibility on behalf of the NSGCP. Further, the change responds to National Research Council (NRC) recommendations.

3. **Panel's Role/Duties**

Panel's Recommendation: The new authorizing legislative language should be amended to read:

*"The board shall advise the Secretary, the Undersecretary, and the Director concerning:*

- A. *Strategies utilizing the sea grant college program to address the nation's highest priorities regarding the understanding, assessment, development, utilization, and conservation of ocean, coastal, and Great Lakes resources and the environment.*
- B. *A fair and cost-effective program assessment and evaluation process.*

- C. *Participation in the program assessment and evaluation process for the sea grant program.*
- D. *Designation of sea grant colleges and institutes.*
- E. *Such other matters as the Secretary or the Director refer to the board for review or advice.*

*The Secretary shall make available to the board such information, personnel, and administrative services and assistance as it may reasonably require carrying out its duties.”*

Rationale: An understanding of Sea Grant’s challenges, emerging issues, strengths, and opportunities for program effectiveness is essential to making informed decisions on strategies and vision for the National Sea Grant College Program. The effectiveness and vitality of the National Sea Grant College Program is better served with a knowledgeable and visionary Advisory Board monitoring program accomplishments and relevance to emerging national marine and coastal issues.

Reviewing and advising on all major aspects of the National Sea Grant College Program is a core function of the Panel. Making recommendations and providing advice for ensuring a fair and cost-effective evaluation protocol and process is part-and-parcel to the Panel’s overall review and advisory role. It is important that this role/duty remains an independent core Panel function and not be subject to the request of the NSGCP Director or director of a sea grant college or sea grant institute.

It is the Panel’s position that the Panel’s involvement in Sea Grant program assessment processes ranging from advising on evaluation models and tools to participation in onsite reviews, has been invaluable to the overall improvement of the Sea Grant Network, and has been cost effective. The high quality, relatively low cost, and demonstrated success of the Panel’s involvement in improving programs is undisputable.

Panel’s Report to Congress: Further, we recommend that the following separate provision – not tied to the Panel’s advisory responsibility to the aforementioned Executive Branch entities – be added to address the Panel’s independent reporting to the U. S. Congress:

*“That the board reports to the Congress every two years on the state of the national sea grant college program and shall indicate progress the program made towards meeting the priorities identified in the national sea grant strategic plan.”*

Rationale: In order for the Panel to be well informed for the purpose of providing effective advice on the National Sea Grant College Program and strategic national program-level issues, and reporting to Congress on the state of the National Sea Grant College Program, the Panel must have opportunities to acquire the necessary knowledge about the National Sea Grant College Program.

Providing Congress a third party assessment of program performance and accountability helps to insure a relevant and productive Sea Grant Program. Additionally, the interaction between the Panel (Board) and Congress will further the Panel’s capacity to guide the National Sea Grant College Program in addressing emerging critical national issues.

#### 4. **Membership, Terms and Powers**

Panel’s Recommendation: The Panel supports the current legislative language that provides for a four year term of office with eligibility for reappointment.

Rationale: A change from a three to four year appointment was made during the last authorization. Among the reasons was the length of time required to become familiar with the scope and complexity of the program, given a biannual meeting schedule. The Panel is not aware of a problem that needs to/or will be solved by the NSGO suggested change.

Combining the expertise brought to the Board membership with an in-depth understanding of the legislative framework, operational policies and procedures, the institutional capacity of the designated colleges and the program impacts on critical issues, best serves the program and the responsibilities of the Board. The learning curve for a new board member is steep. Development of leadership to guide the Board and enough institutional memory for continuity of Board action requires both commitment and a measure of time.

The Panel, however, is in full accord with the perspectives concerning the need for a fully staffed, vibrant and engaged Panel with an ongoing infusion of new ideas. With timely appointments when members' terms expire, the Panel believes the current language provides the optimum balance between desired experience and program awareness on the one hand and infusion of new expertise and ideas on the other.

5. **Board's Ability to include non-Board Members for Developing Advice**

Panel's Recommendation: The Panel recommends that the following provision be inserted in the new authorizing legislation that enables the Panel (Board) to include non-panel members, via the establishment of subcommittees, for developing advice and exercising and carrying out Panel duties:

***"The board may exercise such powers as are reasonably necessary in order to carry out its duties, including the establishment of subcommittees, which may include members external to the board."***

Rationale: The Panel believes that the capacity to involve non-Panel members on subcommittees enables the Panel to engage the best relevant expertise for input on issues and thus strengthens the capacity of the Panel to provide well informed advice to the Secretary, NOAA Administrator, the NSGCP Director and to the U. S. Congress.

In the interest of providing the best possible guidance to the program, interaction with knowledgeable experts relevant to the issues under deliberation represents prudent action. We would hope that few if any constraints would inhibit our ability to consult and collaborate with the best available talent to address critical and complex national marine and coastal issues on which the Panel deliberates.

6. **Enhance Capabilities of the National Sea Grant Office: Increasing the Administrative Cap**

Panel's Recommendation: The Committee recommends support of an increase in the administrative cap from five (5) to seven (7) percent

Rationale: The Panel has thoughtfully addressed the staffing level within the NSGO on several occasions. In each case, concern was expressed that the diversity of expertise and capacity to guide, coordinate and support the college programs was seriously short of the optimum level. With the NRC recommending greater interaction between NSGO and the institutional programs and increased responsibility for more frequent systematic reviews of the programs, requirements for staff resources are substantially increased. At the same time, the Panel is concerned that growth in administrative

costs not outpace the growth of program dollars, restricting the capacity of the colleges to deliver relevant and effective programs.

If changes in the current processes for review of programs for continuing program improvement and program accountability are made consistent with the NRC report, careful attention to operational efficiencies and creative staff utilization will be needed to live within the seven (7) percent cap. A review of required NSGO activities, staffing and administrative operations and functions (update of the Duce Report, "**Building Sea Grant: The Role of the National Sea Grant Office**," released June 2002) should be conducted.

#### 7. **Regional Programs**

**Panel's Recommendation:** The Panel supports that an enabling non-matching provision be added to the new authorizing legislation that gives the National Sea Grant College Program the ability to promote and encourage planning and implementation collaboration among clusters of Sea Grant Programs and strategic partners and stakeholders.

**Rationale:** The Panel supports the inclusion of new language that would describe in more detail the role of Sea Grant in addressing important issues of regional and national concern. The NSGO defines regional research and informational plans as plans that are, "Developed by sea grant colleges and institutes that identify regional priorities consistent with the National Ocean Research Priorities Plan and Implementing Strategy." Authorizing language encouraging interagency fund transfers and jointly funded inter-agency programs should stimulate greater regional collaboration and partnerships among universities, agencies and interest groups to more effectively address regional and national priorities. This initiative should also reduce duplication and therefore ensure that attention is paid to the greatest needs.

#### 8. **Sea Grant International Programs**

**Panel's Recommendation:** The Panel supports that the addition of an enabling provision be included in the new authorizing legislation that gives the National Sea Grant College Program the ability to promote and encourage collaboration, technical expertise and information and technology exchange with other nations.

**Rationale:** Solutions to our country's pressing issues are frequently found, at least in part, in other countries or regions of the world. Further, expanding the expertise base and technological resources relevant to our pressing concerns serves our best interests.

Careful attention must be given to protect scarce program dollars allocated to address critical domestic issues from diversion to international activities. The Panel maintains a level of concern that essential NSGO staff and funding not be diverted to international programming, thereby depleting the existing stressed resources awarded to the domestic programs.

#### 9. **Remove State Program Ranking Constraints**

**Panel's Recommendation:** The Panel recommends that the 2002 amendments to the Sea Grant legislation that require that programs be ranked based on their relative performance, and further require that certain funding decisions be made on the basis of programs' relative ranks, be removed.

Rationale: The current legislative language from the 2002 amendments has had the unintended consequence of building a disincentive for programs to work cooperatively and to form partnerships. In a time of emphasis to address more large scale regional issues through multi-institution and multiple agency collaboration, systems that reward or at least are neutral concerning program cooperation, best serve the public interest.

Implementation of additional measures for program review and policies advancing “continuous program improvement,” building on the current rigorous program evaluation and review processes, should effectively address the NRC recommendations calling for still more intense and frequent program assessments. The Panel remains firmly committed to the support of efficient and effective programs that are accountable and responsive to the priority concerns of the public.

The Panel concurs with the NSGO’s intent to retain the reference to “evaluate and rate” the performance of state Sea Grant programs, via whatever process emerges from the NRC response, while requesting removal of the relative ranking requirement.

10. **Increase NOAA’s ability to make Sea Grant Awards without Requiring Matching Funds**

Panel’s Recommendation: The Panel recommends that the new authorizing legislation increases the percent of funds that may be awarded without match from the current 1% to 5%, and that the Sea Grant Knauss Fellowship Program be fully exempt from having to match grant awards.

Rationale: Many Sea Grant programs address issues of local as well as national concern. As such, the general match requirement is appropriate. In addition, it multiplies the federal investment in critical issues and measures the relevance of the programs to state and local populations.

However, the level of required match has made it difficult for Sea Grant to participate in joint competitive programs with other NOAA offices or other agencies due to the constraint that incoming proposals for Sea Grant funding require a match while proposals from the other agencies do not.

The requirement that legislative Knauss Fellowship awards must be matched has no logical basis since the state programs derive no real benefit from the fellows’ activities. In addition, since awards to executive branch fellows do not require match (because they are supported with funds from other agencies), the treatment of legislative fellows is inconsistent.

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## **OVERVIEW OF SEA GRANT COLLEGE RE-AUTHORIZATION**

Prepared for guidance of the National Sea Grant Review panel in fulfilling their responsibilities to advise the DOC Secretary, the NOAA administrator and the National Sea Grant College program Director concerning program re-authorization for 2008 and beyond.

### **Background**

The current authorization expires in 2008. The Panel has played an advisory role in the formulation of bills and provision of information for review of previous re-authorization bills. Among other functions, authorizing legislation affirms congressional intent for program funding and thus shields appropriations from assault as an un-authorized expenditure of funds. Programs without authorization, under current legislative procedures, are at risk for elimination by a single congressman and they are elevated in their vulnerability to presidential veto.

### **Central Parties To The Re-authorization Process**

A legislative bill accomplishes re-authorization for a program. The bills for the Sea Grant College program are introduced in the House Resources committee and in the Senate committee on Commerce, Science, and Transportation. The committee staffs draft the initial version of the proposed legislation.

DOC legislative affairs and NOAA legislative affairs will have the opportunity for presenting proposals relevant to the legislation. Such proposals originating from the NSGO Director's office up through the Secretary of Commerce offices are reviewed and cleared with OMB before transmission to legislative offices. As the bills move through hearings, modifications and conference, the department and units of the department are called upon for input. The Panel has a mandate for input on the content of legislation proposed by the Department and units within the Department as well as advising on issues and proposals flowing from congressional hearings and public participation.

### **Parties other than the Department of Commerce and the Executive Branch**

The SGA has been extensively involved in proposing to the Department and Congress language for inclusion in previous bill. Likewise, NASULGC representing Universities has been an active participant in development of legislation.

As the legislation moves through the development process, SGA has actively interacted with the congressional staff, participated in the scheduled hearings, communicated with interested publics, and collaborated with concerned citizens and interest groups on testimony, correspondence and maintaining understanding of the content and progress of the legislation.

Through- out the entire process from formulation of draft legislation to final congressional approval, the Panel has a clear advisory responsibility to the Department of Commerce and the units within it. Conduct of that responsibility is guided by FACA regulations. Thus the emphasis on preparation for the re-authorization by aggressive

collection of information concerning the status, effectiveness, challenges and perceived future from Executive and Legislative branch sources, university officials and program leaders, program clientele, and national and regional interest groups. Provision of accurate, timely and quality advise at the preparation stage of the legislative process is the most effective manner that the Panel can fulfill its mandate and make the most beneficial contribution to the future of the Sea Grant College program.

### **Anticipated Timelines and actions**

#### 1) Elections in fall 2006 and November 2006 Panel meeting

The relevant committee membership will likely change following the election. . Establishing contact with the new leadership and their respective staff to understand their agenda and issues concerning the Sea Grant program will be a priority item of Panel business. The end of November Panel meeting should complete a quick review of panel member relationships with the new committee members. In addition, a compilation of the panel member's recommendations should be complete and reviewed during the November meeting. Lastly, implications from the NRC report should be compiled and incorporated into the candidate list for new legislative language. Meetings with the committee and member staffs in Mid November will be essential to providing informed advise to the NSGO, NOAA and the Department in Early January 2007. These November 2006 meeting will serve to establish relationships with the relevant staff members, determine their timetables for committee action, and identify both information needs as well as concerns they have about the program.

#### 2) January 2007- Anticipated date for launching development of new re-authorization Bills.

Committee staff will begin collecting information for drafting of the new legislation. The challenges facing the Panel include:

- A) Assembling, compiling, and prioritizing a list of modifications, deletions and additions for review and coordination with CORE, NASULGC, SGA and the NSGO Director.
- B) Engaging the Secretary's office concerning their planned actions concerning re-authorizing and establishing a protocol for advising them throughout the entire legislative process.
- C) Achieving a high level if not complete consensus with NSGO office, SGA and National interest groups with a history of participating in the process on the desired elements, language and levels to be incorporated into the new legislation.
- D) Completing and affirming a packages of recommendations for both communication and discussion with the Department and Panel use in response to request for comment and advise concerning the re-authorization legislation.

#### 3) February through September / October 2007

- A) Monitor progress of the bills and respond to emerging conflicts and proposed amendments through close ongoing communications with the NSGO Director, SGA, office of the Secretary and legislative contacts.

B) Respond in a timely manner to request for information, opportunities for participation in information sharing sessions and invitations to congressional hearings.

**Panel Members as Informed and Concerned Citizens**

- 1) Keeping your colleagues, friends and organizational contacts informed and engaged in communicating about and in support of the program will be an important activity to achieving a desired re-authorization bill.
- 2) Relaying to the Panel Executive committee and / or the reauthorizing committee issues and concerns discovered over the course of the legislative cycle will be vital to the ability of the Panel to be proactive in discharge of its responsibilities.

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### Charge Statement

For the National Sea Grant Review Panel's Reauthorization Committee  
Adopted by the Panel on Tuesday, March 6, 2006

#### Charge Statement

To improve the Panel's ability to provide accurate, timely and quality advice to the DOC Secretary, the NOAA Administrator and the National Sea Grant College Program Director, the Reauthorization Committee is charged with developing the Panel's information engagement guidelines and strategy for interacting with the Administration and Congress.

The Committee should identify Administration and Congressional persons to be contacted and recommend when such contacts should be made. The Committee should collaborate and work with the SGA and other strategic partners as appropriate, in developing the process and approach. Also as appropriate, the Committee should collaborate with the NOAA's Office of Legislative Affairs, for facilitating and advancing the quality of the Panel's informational exchange and gathering processes with the Administration and Congress.

#### Special Note:

The Committee (and all other Panel members) will follow FACA regulations and ensure that the full Panel is duly apprised accordingly via the Panel's annual training sessions.

1. Action Plan
  - A. The first order of business for the Committee is to schedule informational sessions on Tuesday afternoon, March 7 and all day Wednesday, March 8, 2006, with the highest possible ranking staffers in the NOAA Budget and Policy Offices, the Department of Commerce Budget and Policy Offices, the OMB, key staffers for relevant oversight Congressional Committees, etc.
  - B. The Committee should recommend the Panel's informational exchange protocol, including questions, for engaging these entities for the informational exchange.
2. Information Gathering and Advising Role
  - A. Schedule meetings with relevant offices
  - B. Match Panel members schedule staffers
  - C. Compile and organize information collection
3. Develop white paper on Sea Grant Reauthorization for Panel Guidance
  - A. Anticipate and Identify Issues
  - B. Determine Decision Items
  - C. Develop strategy
  - D. Timelines
  - E. Identify Relevant Decision Makers
4. Formulate a position on Issues and Recommendations for the 2008 Reauthorization
  - A. Solicit concerns and positions addressing reauthorization.
  - B. Prepare proposal for full Panel endorsement
5. Implementation

Working under the provisions of the FACA regulations governing prohibitions against lobbying, each Panel member is encouraged to play an appropriate role in the information exchange with Administration Officials and Congressional Members and Staffers.
6. Oversight

The Panel's Board of Directors (Executive Committee) will oversee this initiative on behalf of the full Panel.

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### Bios:

Dr. David Christie, Director, Alaska Sea Grant

Dr. Robert Detrick, Assistant Administrator, NOAA  
Research

Captain Craig McLean, Deputy Assistant  
Administrator, NOAA Research



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**Dr. David Christie**

Director, Alaska Sea Grant

Director, Kasitsna Bay Laboratory, University of Alaska-Fairbanks

Director, West Coast and Polar Undersea Research Program

**Educational Background**

- **Ph.D., 1984, Geology and Geophysics**

University of Hawaii

**Research Interests**

- Exploration of unmapped volcanic regions in the deep ocean.
- Origin and evolution of oceanic plates.
- Origin and evolution of oceanic volcanoes and lavas

**Current Work**

In addition to his Alaska Sea Grant role, Dr. Christie is also a professor of Geological Oceanography and Marine Geology and Geophysics.

Since coming to UAF from Oregon State University in 2006, Dr. Christie has served as director of the UAF/NOAA West Coast and Polar Regions Undersea Research Center and as UAF director of the Kasitsna Bay Laboratory near Seldovia.

Christie is a marine geologist whose research focuses on tectonic forces and volcanic processes in the deep ocean. He received his doctorate from the University of Hawaii in geology and geophysics in 1984.

Biography of Dr. Robert Detrick  
**Assistant Administrator of OAR**

Dr. Robert Detrick will be the Assistant Administrator (AA) of the National Oceanic and Atmospheric Administration (NOAA) Office of Oceanic and Atmospheric Research (OAR), effective February 13, 2012.

As OAR AA, Dr. Detrick will serve as acting chair of the NOAA Research Council, and will lead efforts to advance NOAA's climate and key science enterprise goals.

A marine geophysicist, Dr. Detrick has extensive experience in marine science, technology, and marine operations. Before coming to NOAA on Feb. 13, 2012, Dr. Detrick was Director of the National Science Foundation's Division of Earth Sciences. He had been there since November 2008, while on leave from Woods Hole Oceanographic Institution (WHOI), where he was a Senior Scientist for more than 20 years and Vice President for Marine Facilities and Operations.

Dr. Detrick's research focused on aspects of marine geology. He lists more than 100 scientific publications on the seismic structure of mid-ocean ridges and oceanic crust, the size, depth, and properties of ridge crest magma chambers; and the nature of mantle flow beneath mid-ocean ridges and relationship to ridge segmentation and axial topography.



Robert Detrick, Ph.D.

A Fellow of the American Geophysical Union, Detrick received the A. G. Huntsman Medal in 1996 which honors "marine scientists who have had and continue to have a significant influence on the course of marine scientific thought."

He has participated in more than 30 major oceanographic cruises, 18 as Chief Scientist or Co-chief Scientist. He was Co-principal Investigator for WHOI's ocean bottom seismic instrumentation laboratory which builds and operates ocean bottom seismometers for the U.S. National Ocean Bottom Seismic Instrumentation Pool. He was Senior Principal Investigator on WHOI's NSF-funded project to build a replacement for WHOI's Deep Sea Research Vessel *Alvin*.

Dr. Detrick has served on and chaired committees and panels for various international and national organizations including the RIDGE Steering Committee (Chair from 1992-1995), the Joint Oceanographic Institutions for Deep Earth Sampling (JOIDES) Executive Committee of the Ocean Drilling Program (Chair from 1996-1998) and the NSF Geosciences Advisory Committee (Chair 2004-2005). He was a member of the Board of Governors of Joint Oceanographic Institutions (JOI) (1995-2007) and chaired the JOI Board from 2002-2004. He is a Past President of AGU's Tectonophysics Section and is chair of the International Continental Drilling Program Assembly of Governors.

He holds a bachelor's degree in geology and physics from Lehigh University (1971), a master's degree from the University of California, San Diego in marine geology (1974), and a doctorate from the Massachusetts Institute of Technology/WHOI Joint Program in Oceanography (1978).

A native of Pittsburgh, Pa., he now lives on Capitol Hill in Washington, DC.

## Craig N. McLean



Craig McLean is the deputy for NOAA's Oceanic and Atmospheric Research programs and administration. He is responsible for daily operations and administration of NOAA's research enterprise, and the execution of NOAA programs including the Climate program, the National Sea Grant Program, Ocean Exploration and Research, and Weather and Air Quality research.

He has previously served in NOAA as Executive Officer of the National Ocean Service, and was the founding Director of NOAA's Office of Ocean Exploration. McLean served in uniform for nearly 25 years, retiring from NOAA's Commissioned Corps in the grade of Captain after service at sea, underwater, and in operational, legal, and marine resource management positions. McLean served aboard hydrographic, oceanographic, and fisheries research ships and was the first commanding officer of NOAA's largest fisheries research vessel, the 224-foot *Gordon Gunter*. He led NOAA's innovation and planning for the Smithsonian Institution's Ocean Hall, and achieved a National Ocean Action Plan goal of securing a permanent, dedicated ship for the national ocean exploration program, the *NOAA Ship Okeanos Explorer*.

A life long diver, he began exploring deep shipwrecks through decompression diving while in junior high school. These experiences have taken him to the Amazon River searching for freshwater dolphins, and to the *USS MONITOR* and *RMS TITANIC* searching for solutions in historic shipwreck management.

Craig McLean is also an attorney and has practiced marine resource law for NOAA. He has been awarded the Departmental Silver and Bronze Medals, the NOAA Corps Commendation Medal, and Special Achievement Medal. He is a frequent speaker on ocean related subjects, rooted in his diverse NOAA career experience in fisheries, coastal and marine area management, directing research, law, and both surface and submerged marine operations. He is a Fellow of the Explorers Club, and of the Marine Technology Society, and a Past-President and Chairman of the Sea-Space Symposium.

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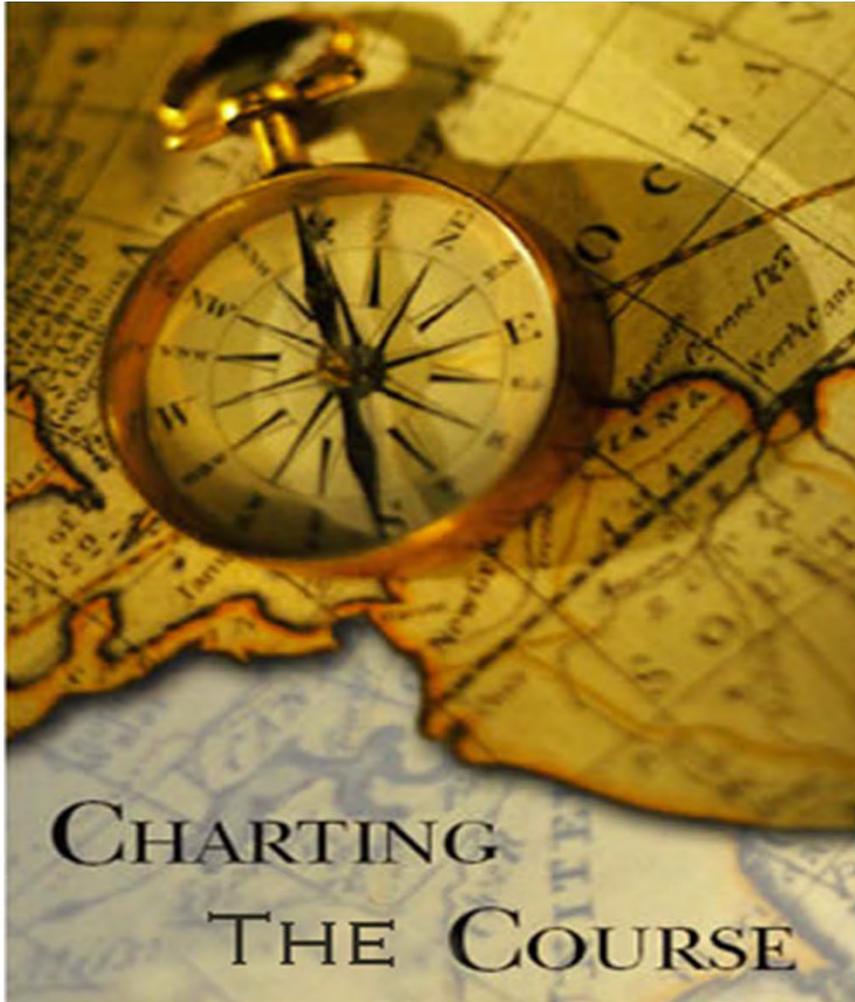


Focus Team Vision  
(2008 Presentation to Focus Teams)



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vision

# Welcome - Sea Grant Focus Teams

Inaugural meeting, Airlie House, June 10, 2008



Sea Grant



# Focus Teams – Key Concepts

- National planning and implementation effort for a national program that addresses national issues
- Big ideas, innovation and leadership



# Leadership





# Overarching Goal – Present Sea Grant as a National Program

- Your leadership will:
  - Provide the rationale for expenditure of federal \$ on Sea Grant
  - Demonstrate Sea Grant's important contributions at the national level
  - Lay the foundation for an evaluation system at national and state levels



# National Program



vision



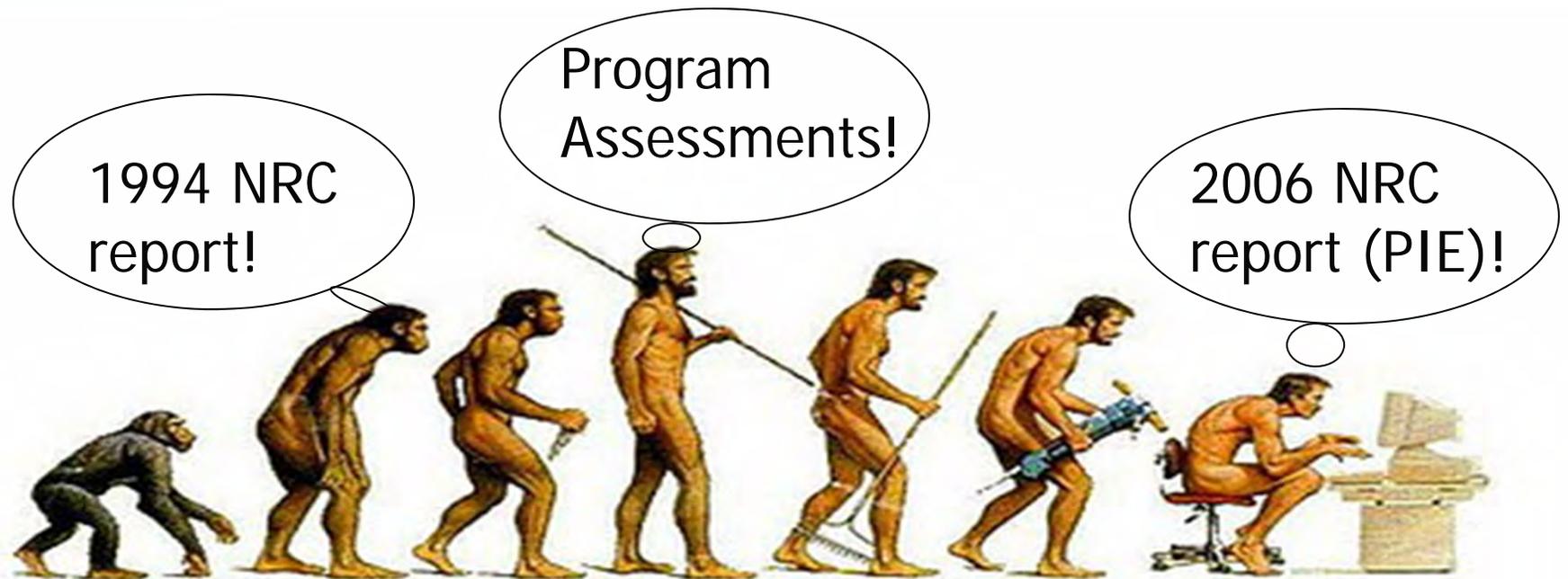
# National Program

The total is  
greater than  
the sum of  
its parts





# 14 Year Evolution





# Evolution of National Sea Grant Planning and Evaluation

- 14 year history
- 1994 NRC review
  - Program assessment system
  - Program strategic plans required
- 2006 NRC review
  - Focused national plan and aligned state plans
  - Enhanced role of NSGO Program Officer



# The Natural Order of Things

FOCUS TEAMS!

Theme Teams

Ad hoc White Papers





# From theme teams to focus teams

- 11 theme teams, develop ideas/plans for programmatic growth
- Co-chairs, participation voluntary
- 4 focus teams, NSGO Chair, members appointed, long term commitment
- Support Network to help ensure accomplishment of the goals and objectives of the national plan



# Focus Team Roles and Responsibilities

- Facilitate planning, implementation, synthesizing and reporting of SG activities and accomplishments
  - Reviewing annual reports and synthesizing results to tell the national story
  - Assess progress in achieving goals and objectives and recommend mid-course corrections
  - Example: 1) Social Science Research not being accomplished, 2) Emerging success story on Sea Grant accomplishments in wind power siting



# Focus Team Roles and Responsibilities

- Identify new opportunities and directions for Sea Grant national and regional initiatives
  - Examples: 1) Proposing a new national investment in the application of climate sciences, 2) Developing a position paper on Sea Grant opportunities in offshore energy development



# Focus Team Roles and Responsibilities

- Catalyze cooperative efforts among SG and our partners
  - Examples: 1) Developing and implementing a partnership strategy with FEMA on community resiliency, 2) Identifying an opportunity for a leveraged RFP with the USACE that addresses wetlands restoration issues.



# Focus Team Roles and Responsibilities

- Provide a mechanism to further solidify Sea Grant's local, regional and national identity
  - Examples: 1) Organizing and/or sponsoring or co-sponsoring national level conferences, symposia and other educational initiatives; 2) Developing a national media event to showcase Sea Grant contributions and success on a topic of interest.



# Focus Team Principles

- Focus teams function on behalf of the entire Sea Grant network, not their individual programs or organizations.
- As needed, subcommittees or working groups can be formed and include external participants.
- There will be minimum expectations for all focus teams, but each team will develop its own agenda and prioritize its actions.
- Actions by the focus teams must be consistent with the goals and strategies outlined in the Sea Grant National Strategic Plan.



# The Challenge

- First responsibility is the implementation plan, but it is important to develop an action plan for other activities
- Be creative, you have a license to provide leadership and to be innovative and productive
- Consider a budget for your action plans

# NATIONAL SEA GRANT ADVISORY BOARD

SEPTEMBER 16-17, 2012

FALL 2012 MEETING

END OF BRIEFING BOOK

HOTEL ALYESKA  
GIRDWOOD, ALASKA

